



the dpsa

Department:
Public Service and Administration
REPUBLIC OF SOUTH AFRICA

STRATEGIC HUMAN RESOURCE PLANNING

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GUIDELINE AND TOOLKIT



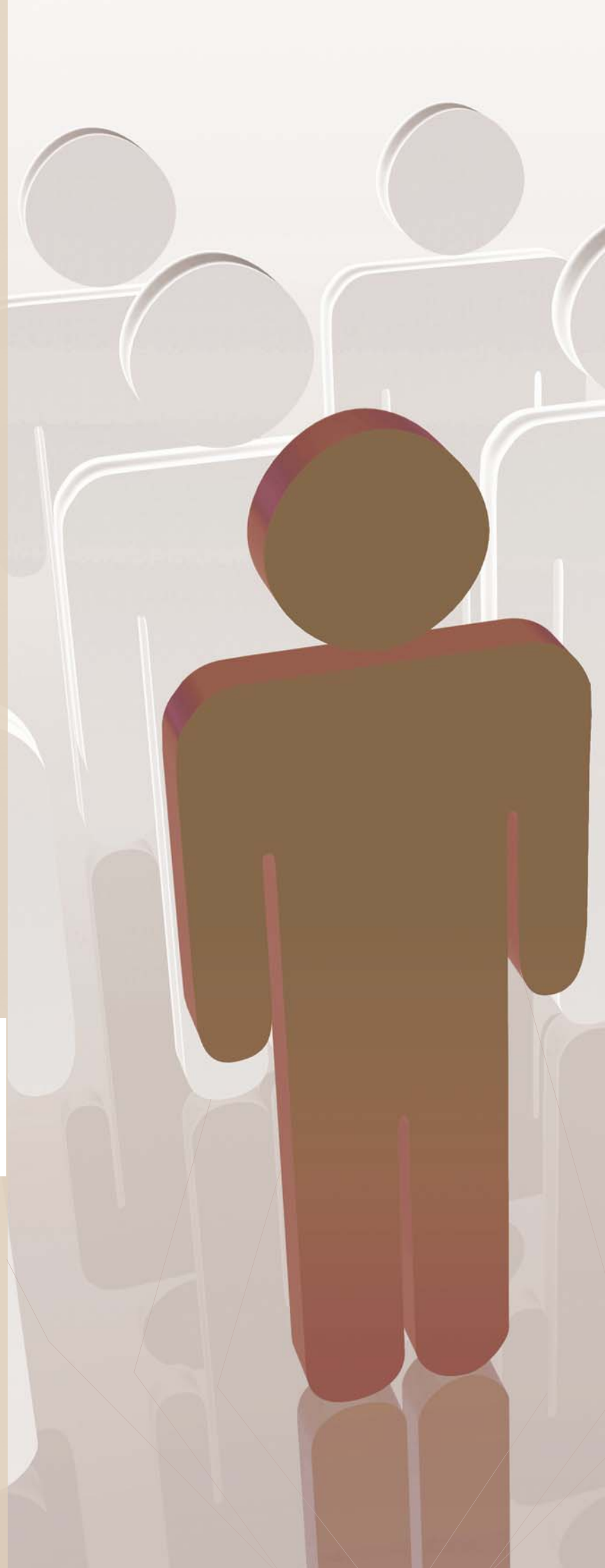
WE BELONG



WE CARE



WE SERVE



“Creating an ‘appropriately sized’ Public Service entails the establishment of human capacity that is sufficient in numbers and adequately balanced between managerial, professional and lower skilled staff and that addresses the distribution of capacity across spheres and sectors. Human resource-related information can support planning and show trends in the use of leave, performance incentives, training and disciplinary cases. In addition it can assist us to monitor the demographic make-up of our public servants. This information is relevant for our transformation agenda and shows us how the public service adapts to its changing role and function over time”.

STRATEGIC HUMAN RESOURCE PLANNING

National departments and provincial administrations will be required to develop human resource strategies which are integrated with their strategic and operational plans, in order to ensure that their future staffing needs are met.

*White Paper on Human Resource Management in the Public Service –
December 1997*

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NOTES FOR USING THIS GUIDELINE AND TOOLKIT

1. For relevant sections in this guideline, checklists have been included in the appendices. These checklists are tools intended to help the user focus discussion and decision-making related to the specific area and are NOT intended for inclusion in the final Human Resource (HR) Plan (see Section 5 and Appendix C).
2. This guideline has been designed to serve as a workbook for the user. Users are therefore encouraged to add their own notes, ideas and references, as well as additional rows and columns to tables in the text throughout the sections of this workbook.
3. The 'Action Steps Required' column in all tables in this Guideline must be considered for inclusion in the final HR Implementation Plan (attached to the HR Plan).
4. The report template (Appendix C) is not a substitute for a thorough review of all aspects of HR planning as required by this Guideline.
5. It is recommended that a specific official (preferably the Head of Human Resources) be made accountable for the management and completion of the HR Plan.
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DEFINITION OF SELECTED TERMS

I. DEFINITION OF SELECTED TERMS

TERM	DEFINITION
Competencies	The blend of knowledge, skills, behaviour and aptitude that a person can apply in the work environment, which indicates a person's ability to meet the requirements of a specific post.
Complexity	The degree to which a number of many different factors in the environment affect the organisation.
NQF	National Qualifications Framework
OQF	Occupational Qualifications Framework
OFO	Organising Framework for Occupations
CORE	Codes of Remuneration
Critical skills	A particular skill(s) <i>within an occupation</i> . It is broken up into <i>generic skills</i> (e.g. problem-solving) and <i>occupation-specific 'top-up' skills</i> required for performance within the specific occupation.
Degree of uncertainty	An assessment of how much information is available to make relevant and appropriate decisions relating to the environment.
Developmental state	A state characterised by a push for economic transformation, where the state assumes a prominent role in catalysing and mobilising society's resources towards national development priorities.
Ergonomics	The discipline studying human characteristics for the appropriate design of the living and work environment.
HR planning	HR planning is an inclusive and dynamic process that involves the identification of both current and future human resource needs, as well as potential challenges in order for the Department consistently to achieve its organisational objectives. HR planning is the two-way operational link between high-level strategy and action-oriented implementation that can be monitored and evaluated regularly. Therefore HR planning aims to ensure that a department has the right people at the right place at the right time, <i>all the time</i> .
Magnitude of change	The spectrum of change occurring in the environment, ranging from minor through to drastic change.
MTEF	Medium-Term Expenditure Framework
PESTEL Analysis	PESTEL stands for Political, Economic, Social, Technical, Environmental and Legislative. It is a strategic planning technique that provides a useful framework for analysing the environmental pressures on a team or an organisation.
MTSF	Medium-Term Strategic Framework
Scarce skills	Those occupations in which there is a scarcity of qualified and experienced people – current or anticipated.
SETA	Sector Education and Training Authority
Volatility	An assessment of how often different factors within the environment change.

2. INTRODUCTION

In 2002 the Department of Public Service and Administration (dpsa) issued 'Guidelines on Integrated Human Resource Planning in the Public Service'. This Strategic Human Resource Planning Guideline and Toolkit replaces the previous guideline issued and provides a framework for the entire HR planning process going forward.

This Guideline and Toolkit is meant to assist departments in the development of a human resource plan (HR plan) as contemplated in Part III.D of Chapter I of the Public Service Regulations, 2001 (as amended).



See *Appendix A* for the full text of the specific regulation

The objective of developing the HR plan is to enable the department to meet the human resource (HR) needs resulting from the strategic plan. The White Paper on Human Resource Management in the Public Service¹ – December 1997 (section 4.2) notes that “Human resource planning is essential in order to ensure that an organisation’s human resources are capable of meeting its operational objectives.

Human resource planning ensures that a department:

- Obtains the quality and quantity of staff it requires,
- Makes the optimum use of its human resources,
- Is able to anticipate and manage surpluses and shortages of staff, and
- Develops a multi-skilled, representative and flexible workforce, which enables the organisation to adapt rapidly to a changing operational environment.”

There is a further imperative for every head of department to ensure the effective and efficient management and optimal utilisation of its resources. The HRP Guideline should assist managers in identifying current and future HR issues and needs to address the improvement of service delivery. This would assist in the appropriate deployment of staff across the organisation to meet the national or provincial goals and priorities. Moreover, the guideline should help in mitigating the risks facing the departments, including for example the impact of HIV and AIDS on the workplace and other risks that are likely to affect departments.

In 2002, the report attached to the ‘Human Resource Development Strategy for the Public Service²’ concluded that “the current range, quality and distribution of skills in the South African public sector does not sufficiently meet the current demands for service delivery and, furthermore, that there are serious doubts as to whether the future performance and skills requirements associated with the developmental state can be addressed without concerted intervention in the field of skills development for public servants”.³

It is therefore imperative that the HR plan be seen as an implementation plan that will facilitate the achievement of the departmental strategic objectives by ensuring that suitably qualified incumbents are available to meet these demands. Therefore, there must be monitoring, evaluation and reporting against both the HR Plan and the implementation plans developed at departmental level.

On an annual basis, the dpsa will issue revisions to this guideline and toolkit, including monitoring, evaluation and reporting requirements, in line with the overall strategic planning and budgeting guidelines issued by the Presidency and National Treasury. The intention of the annual revision is to streamline the format and content to ensure that such plans are indeed strategic in nature. It will also provide additional information and resources to enhance the development of the HR plans and facilitate learning across the public service.

The dpsa will be integrally involved in the monitoring and evaluation of the departmental HR plans. Through analysis of particular sector or departmental HR plans, the dpsa will be able to identify critical HR issues that require attention.

¹ The White Paper can be accessed at <http://www.info.gov.za/whitepapers/1997/hrmwp.pdf>

² The report can be accessed at www.samdi.gov.za/documents/acts/HRD

³ Current Skills Profile and Future Skills Needs of the Public Sector Version 1 December 2004. pp4

HR PLANNING IN CONTEXT

3. HR PLANNING IN CONTEXT

The South African Government has adopted the Medium-Term Strategic Framework (MTSF) and Medium-Term Expenditure Framework (MTEF) as an opportunity to act in unison with all spheres of government, and to ensure alignment and a coherent approach to integrated governance.

In order to contextualise HR planning it is important to understand the National Planning Framework (NPF) adopted by the National Cabinet in the approved multi-year cycle, as shown in the figure below.

The NPF defines the cycles of policy strategising, programme development, budgeting, monitoring and evaluation, and public communication of these issues. The Planning Cycle represents a continuous process of planning, implementation and review. This relates to medium-term priorities as well as immediate programmes, one flowing sequentially into the other. At the same time, immediate detailed plans and some of the future medium-term priorities are processed. Planning and review by

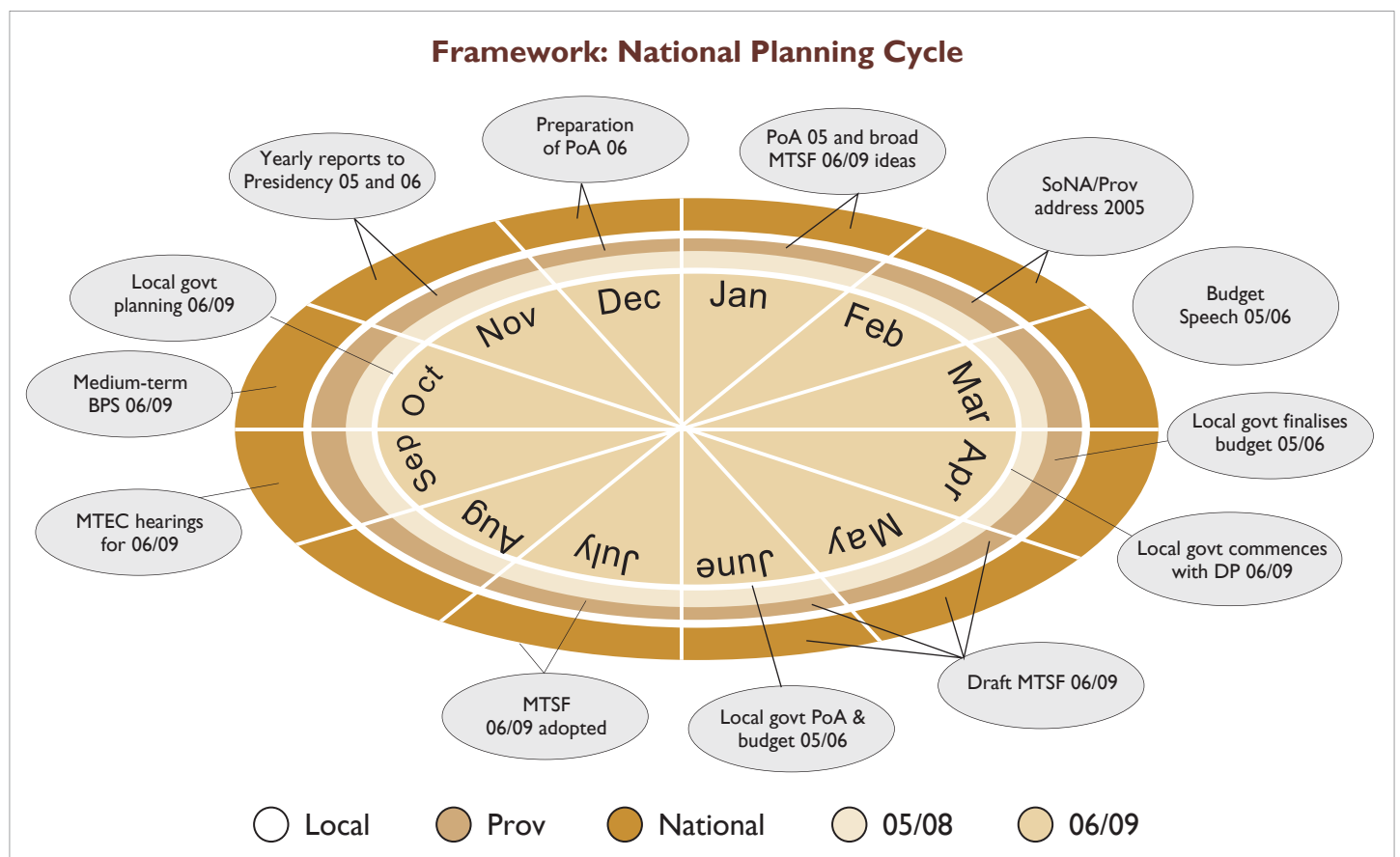
local government are meant to feed into those of provinces; while those of provinces are meant to feed into planning and review at national level.

Strategic planning determines where an organisation is going over the next few years (MTSF), how it is going to get there and how it will know if it got there or not.

The focus of a strategic plan is usually on the entire organisation, while the focus of a business plan is usually on a particular product, service or programme. In addition, National Treasury requires that the *Five-year Strategic and Performance Plan* must be developed within the overall resource envelope specified by the current Medium-Term Expenditure Framework.

Based on the strategic plan, a department is required to engage in HR planning with a view to meeting the resulting human resource needs to meet the department's strategic objectives. Strategic HR and business planning is the foundation for assessing and

Figure 1: Framework of national planning cycle



HR PLANNING IN CONTEXT

understanding the current and future needs of departments and the public service as a whole. Integrated planning is central to the promotion of healthy organisations that recruit and retain competent, committed and engaged employees across the public service.

Strategic HR planning is a key activity for the entire department. Strategic HR planning should be used to identify optimal strategies and activities for important HR management functions, such as recruitment, retention, learning, development, employee engagement, succession planning and employment equity, training and development, amongst others. Effective HR planning forms the basis upon which all other key HR decisions are made, for example, specific recruitment and selection strategies for competency gaps identified during the workforce analysis phase, as well as intensive development programmes to meet projected needs based on the 5-year strategy for the department.

3.1 Defining human resource planning

Previously, HR planning was defined in the July 2002 HRP Guideline as a “system of systematically reviewing human resource requirements to ensure that the required number of employees, with the required skills, are available when they are needed”.

Based on recent research and analysis, this definition can be revised to include a broader view⁴:

HR planning should be central to and in support of all the strategic planning in the departments. In particular, it should focus on the following steps:

HR planning is an inclusive and dynamic process that involves the identification of both current and future human resource needs, as well as potential challenges in order for the department to consistently achieve its organisational objectives. HR planning is the two-way operational link between high-level strategy and action-orientated implementation that can be regularly monitored and evaluated. Therefore HR planning aims to ensure that a department has the right people at the right place at the right time, all the time.

- Departmental strategic planning with the objective of identifying key priorities;
- Cluster-level objectives;
- Programme planning; and
- Monitoring, evaluation and reporting.

Overall, HR planning should be utilised to align a department’s workforce with the government’s priorities, and the department’s mission, strategic plan and budgetary resources. Possible reasons for allocating financial and human resources to HR planning are, amongst others, to:⁵

- ensure that the departmental strategic plan is achieved,
- ensure an adequate supply of correctly qualified staff,
- provide HR information to other functions in the department,
- develop recruitment strategies that support the attraction of highly skilled talent to the department,
- develop retention strategies that are true to the relevant policies and actually deliver retained talent to the department,
- ensure equal opportunities for all employees within the department,⁶
- ensure that capacity issues are adequately addressed across all levels of the organisation, and
- address changing service delivery demands.

⁴ Reference can also be made to the definition of HR Planning by The Public Service Human Resources Management Agency of Canada. HR planning is defined as a “process that identifies current and future human resources needs for an organisation to achieve its goals. Human resources planning should serve as a link between human resources management and the overall strategic plan of an organisation.” – www.hrma-agrh.ca. The Canadian definition sets the basis for the revised definition in this guideline.

⁵ Muchinsky, P.M. et al (1998). *Personnel Psychology*. pp 213

⁶ Employment Equity Act 55 Of 1998 – Employees cannot be discriminated against based on race, gender, sex, pregnancy, marital status, family responsibility, ethnic or social origin, colour, sexual orientation, age, disability, religion, HIV status, conscience, belief, political opinion, culture, language and birth.

4. LEGISLATIVE SUMMARY



See *Appendix B* for a selected list of appropriate legislation and regulations

The Public Service Regulations, 2001 (PSR) and the Treasury Regulations, 2002 emphasise the importance of integrated strategic planning in the effective delivery of public services. Strategic planning is indeed one of the key responsibilities of accounting officers. It is central to the effective, efficient, economical and transparent use of resources of the department in terms of both section 38 of the Public Finance Management Act, 1999 and section 7(3)(b) of the Public Service Act, 1994.

The Public Service Act (Act 103 of 1994, as amended) defines, amongst others, the Executing Authority and the Head of Department, as well as their respective roles. HR planning is not defined in the Act, but is covered extensively in the PSR.

The spirit of the PSR is captured in Chapter I, Part II, which deals with the delegation of authority and states:

To enable a head of department to manage her or his department effectively and efficiently, the executing authority shall provide the head of department with appropriate powers and authority.

In terms of Chapter I, Part III of the PSR, Part B focuses on strategic planning, while Part D focuses on HR planning. The accountability for the preparation of the Strategic and HR Plans vests with the Executing Authority.

It is recommended that the Executing Authority and Head of Department⁷ sign the approved HR plans.

⁷ The Research Report on the Development of Interventions to Improve the Quality of Human Resource Planning at departmental level in the public service recommended that the accountability for HR planning vest with the HOD. **This guideline has been prepared on the assumption that the recommendations contained therein are supported.**

THE SEVEN GUIDING PRINCIPLES

5. THE SEVEN GUIDING PRINCIPLES UNDERPINNING STRATEGIC HUMAN RESOURCE PLANNING

A department that has an effectively planned workforce is better equipped through having the right mix of people and skills to achieve the aims and objectives of the department and meet its future challenges.

Such an approach addresses two critical needs:

1. The alignment of an organisation's human resource planning programme with its current and emerging mission and strategic/programmatic goals, and
2. The development of long-term sustainable strategies for acquiring, deploying, developing and retaining employees to achieve strategic/programmatic goals.

Approaches to strategic human resource planning can vary with each department's particular needs and mission. The success of the human resource planning process that a department uses can be judged by its results – how well it helps the department attain its mission and strategic goals – not by the type of process or processes used. Existing strategic human resource planning tools and models suggest that there are certain principles that such a process should address, irrespective of the context in which planning is done. These principles are central to a cohesive and integrated model for strategic human resource planning (see fig. 2).

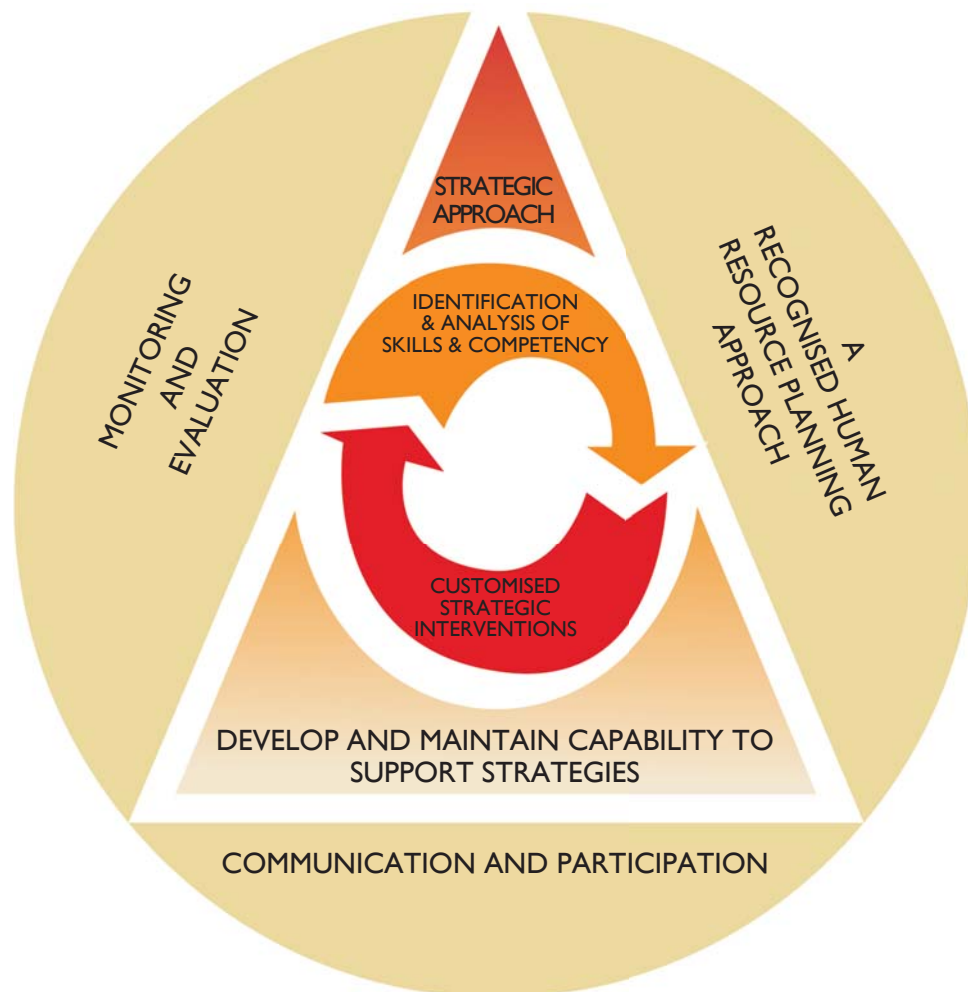


Figure 2: Principles of HRP

THE SEVEN GUIDING PRINCIPLES

Some of these ideas have been integrated in the process approach suggested as the sequence of activities in the guide. Each of the seven guiding principles is addressed below. The seven principles are:

human resources needed for the future and to develop strategies for shaping this workforce. In ensuring that departments do not limit their planning to meet the needs of a single view of the future, scenario planning that integrates human resource strategies with mission-oriented efforts can describe different future environments that could potentially be encountered.

Table 1: Seven principles of HRP

PRINCIPLE	FOCUS	DESCRIPTION
Principle 1	Strategic approach	A strategic approach to human resource planning is adopted.
Principle 2	Recognised human resource planning approach	A recognised human resource planning approach is used.
Principle 3	Communication and participation	Management, employees and identified stakeholders participate in developing, communicating and implementing the Strategic Human Resource Plan.
Principle 4	Identification and analysis of skills and competency gaps	Human resource gaps in terms of supply and demand issues including the critical skills and competencies that are needed to achieve strategic/ programmatic results are identified and analysed.
Principle 5	Customised strategic intervention	Customised strategies to address workforce gaps and critical skills and competencies are developed and implemented.
Principle 6	Develop and maintain capability	Institutional and individual capabilities to address administrative, educational and other requirements necessary to support human resource planning strategies are developed and maintained.
Principle 7	Monitor and evaluate	Regular monitoring and evaluation of human resource plans, progress made towards human resource goals and the contribution of human resource results in achieving programmatic goals.

The principles presented below can enhance the effectiveness of a department's strategic human resource planning by helping the department focus on the issues it needs to address, the information it needs to consider and the lessons that it can learn from other organisations' experiences. By doing so, departments can better ensure that their strategic human resource planning processes appropriately address the human resource challenges of the future and better contribute to the departments' major efforts to meet their missions and goals.

The challenge faced by departments is that there is not always a clear link between specific human resource planning strategies and strategic programmatic outcomes. If a department identifies staff needs without linking the needs to strategic goals, or if the department has not obtained agreement from key stakeholders on the goals, the needs assessment may be incomplete and premature. To ensure that their workforce is able to contribute optimally to the achievement of current and future goals, each department should identify and plan for the desirable skills and characteristics of its workforce. This should be an integral part of the department's strategic planning process – incorporating all of government's objectives.

Principle 1: A strategic approach to human resource planning is adopted

Departments are increasingly realising that they must transform themselves to meet the long-term fiscal, domestic, continental and global challenges of the 21st century. Human resource planning that is linked to a department's strategic goals is one of the processes departments can use to systematically identify the

THE SEVEN GUIDING PRINCIPLES

Principle 2: A recognised human resource planning approach is used

The use of a recognised human resource planning approach, based on existing state and sectoral best practices, will enable a sound and consistent basis for ongoing evaluation of the adequacy of the workforce to meet business goals, and for planning within the department and across government.

Principle 3: Management, employees and identified stakeholders participate in developing, communicating and implementing the Strategic Human Resource Plan

Efforts that address key organisational issues, like strategic human resource planning, are most likely to succeed if, at their outset, departments' senior management and human resource leaders set the overall direction, pace, tone, and goals of the effort, and involve employees and other stakeholders in establishing a communication strategy that creates shared expectations for the outcome of the process.

Planning, developing and implementing human resource planning strategies can cause significant changes in how a department implements its policies and programmes. To ensure that departments successfully implement strategic human resource planning strategies, the following should be considered:

- **Ensure that management sets the overall direction and goals of human resource planning**

Executive and senior management should be clearly and personally involved in strategic human resource planning, thereby providing the organisational vision that is important in times of change. Their leadership can help provide direction and stability during the development and implementation of the human resource plan. In addition it provides a cadre of champions, including both political and administrative executives within the department, which ensures that planning strategies are thoroughly implemented and sustained over time. It can also help integrate human resource planning efforts with other key management planning efforts, such as succession planning and information technology or financial management reforms, to ensure that such initiatives work together to achieve the department's goals.

- **Involve employees and other stakeholders in developing and implementing current and future human resource strategies**

Department managers, supervisors, employees, organised labour and other stakeholders need to work together to ensure that the entire department understands the need for and benefits of actions described in the strategic human resource plan so that the department can develop clear and transparent policies and procedures to implement the plan's human resource strategies.

Involving employees and other stakeholders on strategic human resource planning teams can develop new synergies that identify ways to streamline processes and improve human resource strategies, and help the department recognise and deal with the potential impact that the organisation's culture – the underlying assumptions, beliefs, values, attitudes and expectations generally shared by an organisation's members – can have on the implementation of such improvements. Strategies that recognise how change may challenge the existing culture, and include appropriate steps to deal with potential problems, are more likely to succeed than strategies that do not.

- **Establish a communication strategy to create shared expectations, promote transparency, and report progress**

A communication strategy is especially crucial in the public sector, where a full range of stakeholders and interested parties are concerned not only with the human resource and programmatic results that will be achieved by a plan, but also with the processes that are to be used to achieve those results. For example, if a human resource plan calls for implementing new and unfamiliar strategies, employees may be concerned about whether the processes will be followed consistently and fairly. In general, communication about the goals, approach and results of strategic human resource planning is most effective when done early, clearly and often, and is downward, upward and lateral.

Principle 4: Human resource gaps in terms of supply and demand issues, including the critical skills and competencies that are needed to achieve strategic/programmatic results, are identified and analysed

Changes in national priorities, globalisation, security, technology, budget constraints and other factors change the environment within which departments operate and are challenging government departments to reconsider how they do business, the activities that are performed, the goals that they must achieve and, in some cases, even who does the department's business. It is therefore essential that departments determine the skills and competencies that are critical to successfully achieving their missions and goals.

THE SEVEN GUIDING PRINCIPLES

To meet these challenges effectively, a department needs to:

1. consult with the executive authority and other stakeholders on its strategic goals, and
2. identify
 - 2.1 the workforce skills and competencies that are critical to achieving these strategic goals, and
 - 2.2 how the department will achieve these requirements, including those that the department will need to acquire, develop and retain to meet its goals.

The scope of departments' efforts to identify the skills and competencies required for their future workforces varies considerably, depending on the needs and interests of a particular department. Whereas some departments may decide to define all the skills and competencies needed to achieve their strategic goals, others may elect to focus their analysis on only those most critical to achieving their goals. The most important consideration is that the skills and competencies identified are clearly linked to the department's mission and long-term goals developed jointly with key government and other stakeholders during the strategic planning process.

Departments can use various approaches for making a fact-based determination of the critical human resource skills and competencies needed for the future. These approaches are explored in greater detail in the planning process later on in the guide. When estimating the number of employees needed who have to possess specific skills and competencies, it is also important to consider opportunities for reshaping the workforce by reengineering current work processes, sharing work among offices within the department and with other departments that have similar missions, as well as competitive sourcing.

Principle 5: Customised strategies to address workforce gaps and critical skills and competencies are developed and implemented

To ensure that a department's future human resource needs are met, strategies should be identified and implemented to address the recognised gaps in current and future human resource requirements and provide measures for evaluation. These strategies include the programmes, policies and processes that departments use to build and manage their human resources from the present state to the planned future, tailored to their unique needs. These strategies will enable a department to recruit, develop and retain the critical staff needed to achieve programme goals.

Once a department identifies the critical skills and competencies that its future workforce must possess, it can develop strategies tailored to address:

- gaps in the number, skills and competencies,
- deployment of the workforce,
- the alignment of human resource approaches that enable and sustain the contributions of all critical skills and competencies needed for the future, and
- the elimination of gaps identified between the future and current skills and competencies that are needed for mission success.

When considering strategies, it is important for departments to consider the full range of legislative and policy frameworks available, as well as potential changes that might need additional legislation before they can be adopted and implemented. In addition departments need to understand the strengths and weaknesses of their current human resource programmes and how these programmes can operate optimally in the above contexts.

Much of the authority that departments' leaders need to tailor human resource strategies to their unique needs is already available under current laws and regulations. Therefore, in setting goals for their human resources programme and developing the tailored human resource planning strategies to achieve these goals, it is important for departments to identify and make use of all the appropriate existing legal and administrative frameworks to build and maintain the human resources needed for the future.

Principle 6: Institutional and individual capabilities to address administrative, educational and other requirements necessary to support human resource planning strategies are developed and maintained

As departments develop tailored human resource plans and address administrative, educational and other requirements that are important to support them, it is especially important to recognise practices that are central to the effective use of human resource decision capabilities.

To achieve the government's objectives a department must ensure that all of the public sector human resource policies and foci are reflected in the department's human resource plan.

Current government foci, although the list is not exhaustive, include:

THE SEVEN GUIDING PRINCIPLES

- compliance with the human resource management requirements in the public service,
- those human resource issues addressed through the government's labour relations framework,
- effective management of occupational health and safety and the quality of work life,
- employment equity, gender mainstreaming and disability foci,
- effective and efficient management of performance,
- the importance of human resource development, with particular emphasis on leadership and management, and
- the implementation of employee health and wellness programmes to assist employees in effectively balancing life and work responsibilities.

To ensure that departments successfully implement strategic human resource planning strategies in terms of policy outcomes, the following should be considered:

- **Training of managers and employees in identifying availability of and in using human resource policy options**

Managers and supervisors can be more effective in using human resource strategies if they are properly trained to identify when they can be used and how to use the department's processes for ensuring consistency, equity and transparency for the foci listed above. To avoid confusion and misunderstanding, it is also important to train employees in how the department implements and uses human resource policies and protects employee rights.

- **Streamlining and improving administrative processes**

It is important that departments streamline administrative processes and review self-imposed constraints that may be excessively process-oriented. Although sufficient controls are important to ensure consistency and fairness, departmental officials who develop a human resource planning strategy should look for instances in which processes can be reengineered, within established frameworks, in support of relevant foci.

- **Building transparency and accountability into the system**

Clear and transparent guidelines pertaining to any of the foci listed above, and holding managers and supervisors accountable for their fair and effective use, are essential to the successful implementation of human resource planning strategies. Guidelines can be used to:

- provide well-defined and documented consistent decision-making criteria, and
- minimise managers' and supervisors' potential reluctance or a possible tendency towards non-compliance by promoting fairness and consistency.

Principle 7: Regular monitoring and evaluation of human resource plans, progress made towards human resource goals and the contribution of human resource results in achieving programmatic goals

To ensure that human resource planning continues to meet the current and future business needs of the organisation, mechanisms should be in place continually to monitor, review and evaluate the implementation and outcomes of human resource planning. Evaluation of the contribution that the human resource plan makes to strategic results measures the effectiveness of the human resource plan and helps ensure that the strategies work as intended. Performance measures, appropriately designed, can be used to gauge:

- how well the department implemented its human resource plan,
- how much progress was made toward reaching human resource goals, and
- the contribution that the implementation made toward achieving programmatic goals.

Identifying these types of measures and discussing how the department will use these measures to evaluate the strategies before it starts to implement them, helps department officials think through the scope, timing and possible barriers to evaluating the human resource plan. A human resource plan can include measures that indicate whether the department executed its hiring, training or retention strategies as intended and achieved the goals for these strategies, and how these initiatives changed the human resources' skills and competencies. Periodic measurement of a department's progress provides information for effective oversight by identifying performance shortfalls and appropriate corrective actions, as well as other improvement opportunities, that can be incorporated into the next planning cycle. Possible approaches should include:

- regular assessment of current human resource profiles,
- regular review of departmental performance outcomes as they relate to human resource management issues, and
- continual review of human resource supply and demand

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and human resource trends to address departmental performance.

A department's evaluation of its progress in implementing human resource planning strategies would identify the reasons for any shortfalls, such as whether the department's implementation plan adequately considers possible barriers to achieving the goals, establishes effective checkpoints to allow necessary adjustments to the strategy and assigns sufficient authority and resources to people.

Further evaluation may determine that although the department achieved its human resource goals, its human resource planning efforts neither helped nor hindered the department significantly in achieving its programmatic goals.

This could occur if a department misjudged the relationship between human resource planning and programmatic goals when developing human resource plans and has consequently mistakenly estimated the magnitude of changes in human resource planning strategies that were needed to achieve programme goals. These results could lead to the department's revising its human resource goals to reflect their relationship to programmatic goals better, redesigning programmatic strategies and possibly shifting resources among human resource initiatives during the next planning cycle.

6. GETTING STARTED



Refer to *Appendix E and EI*, for a Self-Evaluation Checklist: Readiness For Human Resource Planning

As the problems facing society and government become continually more complex, and risks associated with solving them grow, the importance of attracting and retaining state employees with the necessary skills and commitment increases.

“You can analyse the past, but you need to design the future ... that is the difference between suffering the future and enjoying it.” Edward de Bono

6.1 Some important first steps

Strategic Human Resource Planning must be viewed as a journey, and it is important to take pragmatic, achievable steps that provide great progress rather than attempt to implement the perfect system from day one. Departments need to think of spending time on human resource planning as the ounce of prevention they need to prevent the pounds of cure they are spending on putting out the fires of burning human resource, skills and delivery issues! Unless a department starts to spend time on human resource planning, it is fairly safe to assume that its future human resource contingent may not be the best one to execute their strategy, and they will continue to fight fires, rather than proactively anticipate and prevent them.

Human resource planning does not need to be a time-consuming and cumbersome process. Nevertheless, regardless of how complex or simple a department decides the planning process should be, it will require a variety of inputs from cross-functional areas and levels within the organisation. Before commencing with the human resource planning process, departments should:

- clearly understand the purpose of human resource planning,
- build support for strategic human resource planning,
- assign people to participate in the human resource planning process,
- determine the scope,
- determine the timeframes,
- identify the resources and capabilities available,
- adapt models, strategies, tools and processes specific to the department's culture and needs, and
- identify planning outputs that are meaningful to the organisation and that support departmental objectives, budget requests, staffing requests and strategic plans.

The capacity to perform effective human resource planning will take time to develop. It is critical to begin carefully and not take on too much too soon. Departments might find it helpful to begin

planning for a subset of the workforce and then extend human resource planning through the remainder of the department. For example, large organisations might find it beneficial to delegate human resource planning to each division and satellite office, which gives managers the flexibility to address local issues, outcomes and strategies. If this is the direction a department takes, the local or divisional human resource plan should be centrally coordinated and encompassed in the department's overall plan.

Whatever parameter is chosen, those involved in the process should communicate this to top leadership to ensure full support.

6.2 Ascertain level of readiness

As a department begins human resource planning it is important for it to know its level of readiness in terms of resources, capability, commitment, expertise, time, money, technology, etc.

- It is one of the important considerations in helping a department decide which approaches it will employ in human resource planning.
- More commitment, expertise, time, money and technology mean that a department can employ more sophisticated and more effective methods.
- Generally speaking, the more one invests in human resource planning, the more one gets out of it in terms of results.
- For those departments who find themselves less ready, there is flexibility in the readiness factors in terms of depth and sophistication but not in terms of minimum requirements of a recognised approach. This makes it possible to achieve powerful results with less sophisticated methods!
- The effort and resources put into human resource planning should correspond to the magnitude of the problems a department is trying to address.

6.3 Build support

Effective strategic human resource planning requires strong management leadership and cooperative supportive efforts of staff in several functional areas. Before departments can even begin strategic human resource planning, leaders of the organisation must be involved, in order to gain their support and commitment to identifying and growing the talent within the organisation through planned analysis and developmental activities like mentoring, coaching, job rotation, educational programmes and formalised feedback processes.

Strategic human resource planning is a component of a strategic business planning process, so in order for it to be properly integrated, it needs top-level support to build credibility and

GETTING STARTED

importance. Do not allow it to be labelled compliance, and do not run it in a vacuum. The chances of success are also restricted when the person or area responsible for developing the human resource plan is isolated. A backroom specialist will probably have minimal exposure to wider workplace issues and limited understanding of how work is actually done. There is little chance with this type of planning to have the eventual plan accepted by an uninvolved audience. *In other words it is not simply an activity that involves one or two employees at the operational level of the department who are tasked with completing forms and templates to meet an output.*

Gaining and maintaining management and staff commitment to the human resource planning process is key to developing an effective human resource plan. Therefore, departments should work hard to gain commitment at the beginning of, or very early on in, the human resource planning process. The following techniques are suggested to build support for the planning process:

- **Obtain support from senior leaders within the department.** It is important that the head of the department and other top leaders understand the value of human resource planning. Their commitment can determine its success or failure. Understanding the factors that affect the department's future operations will help convince senior leaders of the need for human resource planning.
- **Communicate benefits and results of human resource planning to managers and other staff.** Management should be involved in understanding the link between human resource plans and the budget, and the rest of the staff need to understand how human resource planning affects them and the department.
- **Establish a human resource planning team consisting of dedicated and knowledgeable employees from different functional areas and organisational levels.** Trust for the human resource plan can be achieved by involving employees in the planning process.
- **Where possible, automate the process so data can be easily stored and retrieved, thereby simplifying the process.** The simpler the process, the more participation and acceptance departments will enjoy from those who are participating in the process.
- **Develop and implement a plan to ensure accountability, in terms of results and time frames, within each participating unit of a department.** This will help ensure success of the strategies within the larger departmental plan and hold those who are not meeting the goals accountable. In addition, such an approach will allow the human resource planning team and management to detect obstacles to the development of the department's plan well in time.

- **Solicit continuous feedback for improvements to the process.** The human resource planning team should continually review and refine the planning process to ensure effectiveness and continuous improvement.

6.4 Scope the human resource planning exercise

Human resource planning can be applied at a range of levels:

- **Full-scale departmental planning:** This is the level at which this guideline is targeted and is a stand-alone exercise, a sub-set of a corporate plan or part of a broader HR strategy.
- **Single-issue planning:** This is for dealing with issues such as losing corporate knowledge when key people retire or when a new service area with new skills requirements is introduced. This might relate to one group of employees categorised by age or by occupational group.
- **Thumbnail sketch:** This is a scoping exercise designed to use the basic human resource planning steps so as to determine priority areas for further action or decide on whether to make a more in-depth assessment.

In determining the scope, the following questions are helpful:

- What is the focus of the human resource plan?
- Why is the department developing a human resource plan?
- What does it want to achieve?
- How much time, how many people and what budget are available?
- Is this just for one group of people, a work unit, a division or the whole department?
- How will the views of stakeholders (staff and others) be obtained?

6.5 Resources

The scale of a department's human resource planning exercise depends on the perceived challenges facing the department and the resources it can allocate to the process. Where budgets are tight departments might need to focus their planning process further. One option is to introduce human resource planning in a priority work unit or a division and extend this to the whole department as more resources become available.

6.6 Determine planning levels

Achieving results in government, probably more than any other business, depends to a very large extent upon the quality, judgment and motivation of its workforce. Maintaining that workforce today requires departments to manage planning carefully so as to be attractive and competitive employers.

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Strategic human resource planning is a natural complement to strategic planning since it is through the department's human resources that the objectives of the strategic plan will be achieved. Human resource planning cannot be effectively accomplished unless a meaningful strategic plan has been prepared for the organisation.

What is an appropriate organisational level for developing a strategic human resource plan? While there is no single answer, a useful guideline in determining planning levels is to ensure that the outcomes of human resource planning will relate directly to the organisation's strategic plan. As such, the level of analysis should be at least equivalent to that of the strategic plan, and preferably carried out at the programme level, where the front-line effects will be felt.

This, however, is only a guide. Departments should adapt the planning model, including level of detail, in a way that makes managerial sense for them. The size of the organisation, how it is organised and how programmes are managed and budgeted will all impact on this determination.

Similarly, the larger and more complex a department, the more complex it is to determine the key functional requirements. Conversely, for smaller organisations, only a handful of major functions may be identified and the process may be relatively quick and simple. Departments with minimal human resource planning experience and capabilities may initially want to grow and trial their efforts from a level of analysis on a higher organisational layer (e.g., division-level only), selected parts of the department or certain occupational categories, and from there to the whole department.

6.7 Clarify and understand roles and responsibilities

Successful human resource planning is dependent on a commitment from top management and leadership to lead the planning process so as to ensure that HR plans are aligned with strategic business directions. There needs to be a clear executive commitment to developing a sufficient number of skilled staff at all levels of the organisation. Hence, a department's Strategic Human Resource Plan is a government-wide initiative that represents a partnership between management and the human resources component.

The human resources component will support management by ensuring human resource programmes and services are relevant to the changing business needs, and are congruent with the vision, organisational principles, values and commitment to employees. This means focusing on building supports to ensure that the organisation is able to achieve success through its people.

During the planning process the roles and responsibilities of the

participants and the facilitators need to be clarified. Those who best understand the work are often optimally placed to develop good human resource plans, i.e. managers, with human resource professionals acting as strategic advisers. To many departments it may seem perfectly appropriate that their human resources component is best positioned to facilitate a human resource planning workforce; however, if the human resources component is facilitating, it is hard for them to participate as part of the group, and it is by participating with the group that they add the most value.

The role of the human resources component is to:

- support senior management and line managers in executing business strategies,
- act as strategic advisors, not just facilitators of compliance,
- work to increase employee contributions, that is, employees' commitment to the organisation and their ability to deliver results,
- ensure human resource policies, practices and processes are aligned and support the achievement of the vision, organisational principles, values and commitment to employees,
- provide targeted, timely and cost-effective tools, processes and services to help meet departmental business objectives, and
- assist managers to:
 - do an environmental scan of current operations,
 - provide data on current and future staffing trends,
 - identify competencies needed for critical job classes,
 - determine gaps between current staff and future needs,
 - determine needed training and development of current staff to meet future needs,
 - develop recruitment strategies, if necessary,
 - develop workforce planning strategies, e.g. succession planning, as appropriate, and
 - develop a timetable for implementation of identified workforce planning action steps.

The human resources component should not be viewed as the party with primary responsibility for the completion or creation of the workforce plan.

Management will partner with human resources to ensure that human resource plans are aligned to meeting the business needs of the organisation. Management has a responsibility to ensure the vision, organisational principles, values and commitment to employees is part of their day-to-day management practices.

The role of management is to:

- plan and allocate human resources to align with government-wide and departmental strategic direction,

GETTING STARTED

- manage human resources and make decisions on recruitment, retention, performance management, learning and development, diversity, succession and workplace wellness, and
- provide input or participate in establishing human resource management practices, policies and procedures:
 - analyse strategic plans for their areas of operation,
 - determine how staffing needs will be changing,
 - determine skills needed by future staff, and
 - request assistance from HR.

The role of the employee is to be actively involved in his or her own career planning and development. Employees in areas of critical hiring needs or high retirement vulnerability may contribute information, as needed, about the work they do.

Employees may also be involved in developing proposed solutions to address recruitment and retention, training needs, retention of institutional knowledge and knowledge transfer issues in their work unit.

Strategic human resource planning requires strong management leadership and cooperative supportive efforts of staff in several functional areas. Strategic planning, budget and human resources are key aspects of HR planning. Human resources provide tools for

identifying the required competencies and for building the future workforce through strategic recruitment, training, development and retention techniques.

6.8 The human resource planning team

One of the first steps in the planning process should be to establish a human resource planning team.

Typically a human resource planning team consists of the people described in Table 2:

Human resource planning teams could also include:

- individuals with strong institutional knowledge,
- individuals who know the history of the department, and
- individuals who understand the mission, vision and strategic objectives of the department.

Depending on the size of the department, additional teams (sub-teams), which include members from throughout department, may be assembled to collect information about specific areas and topics from targeted sources, such as professional organisations and publications, or internal research.

On completion of the above, proceed to implementing the process explained in the next section of the guide.

Table 2: The HR planning team

WHO	WHY
Executive managers	Are responsible for recognising the need for human resource planning, demonstrating commitment and providing the resources to make it happen. Executive management oversees the creation and completion of the human resource plan.
Senior and middle managers	Should serve on human resource planning teams. Managers are also responsible for using human resource planning as a process for aligning people actions, such as recruitment and training, with strategic goals and objectives. Managers and supervisors who oversee areas with critical hiring needs and/or vulnerability will be involved. They will work with human resources to gather data, determine priorities in key areas and offer creative strategies for action plans. Managers will be responsible for implementing the action plans for their operational area.
HR (human resource) professionals	Should serve in human resource planning teams and provide support and human resource data, expert advice on techniques and strategies for addressing human resource challenges and other specialised support within their area of expertise. They should also work closely with line managers in developing, implementing and monitoring human resource plans.
IT (information technology) professionals	Should serve on human resource planning teams, especially if the process is being automated.
Strategic planners	Should serve on human resource planning teams to ensure linkage between the strategic plan and the human resource plan.
Financial officers	Should serve on human resource planning teams to ensure linkage between the budget and human resource planning.

GENDER-RESPONSIVE PLANNING (GRP)

7. GENDER-RESPONSIVE PLANNING (GRP)

HR Policy and Planning (HRPP) has been criticised for its gender blindness⁸. This occurs not just when an assumption is made that all individuals are formally substitutable, regardless of gender, but also when there is an unrecognized bias that these individuals are “male”. Thus, working hours, conditions of service and career structures are predicated on what are really typically male patterns of employment. This gender blindness is part of a more general problem in human resource planning resulting in failure to consider life-cycle issues and their relationship to the patterns of work of and the career decisions which people make.

Human resource planning has rarely addressed the needs of women employees that relate to their different life-cycle experiences. For instance, women who leave the workforce for family reasons may need special attention if they are to return later. Their skills will need updating and they may need encouragement to re-enter employment in the area in which they were originally trained. Yet few employers keep records that would enable them to track differential retention and loss rates, and the patterns of entry and exit of staff. Whilst the official discourse of human resource planning is engendered, there is considerable evidence of other “gendered” discourses that operate in the human resource planning field. One of these is at the level of stereotyping, where generalised attributions are made concerning women’s unsuitability for particular positions or promotions.

There are some indications that the technician bias of HRP is beginning to be challenged. A WHO consultation in 1992 drew attention to the problems in linking planning to policy and policy to implementation. It noted an excessive concern with the production of new staff rather than with improving the effectiveness of existing ones; and confusion between policy with its attendant goals and procedures and regulations for managing staff⁹. In other words, the quantitative and technical have dominated over the qualitative and strategic. It also pointed to the importance of making qualitative assessments of efficiency and performance. Effort needs to be focused on such issues as what workers do, how tasks and functions are distributed, how performance is monitored and rewarded, and the quality of service delivery that is provided. These are all questions which may have a significant gender dimension to them.

There have been other critics of the narrow focus in Human Resource Development (HRD) on staff numbers and training, and pleas for more attention to the contextual factors which determine or influence this goal¹⁰. The arguments for taking gender seriously in HRPP are not, therefore, based on a special plea for women (or on a unilateral view that female employees always have different needs or interests than men), but on the need to develop a much more effective way of using the public service human resources that exist to meet the considerable challenges of providing competent service delivery in resource-poor settings. This means enabling qualified women to operate effectively as workers while avoiding the pitfalls of stereotyping women as a “problem”. This entails incorporating gender as a key contextual factor into HRPP frameworks.

Hillary Standing (2000) suggests a framework of bringing gender issues into human resources thinking in the context of health-sector reform; however, her framework is equally applicable to the public sector as a whole. In order to draw attention to the focus of gender mainstreaming, one of the four main headings used by her for categorising human resource issues, but with gender included as a key contextual factor, is listed below. The final column in the table notes additional data collection needs that would stem from a decision to incorporate gender issues in planning, monitoring and evaluating human resource planning.

⁸ Hilary Standing • Gender - A Missing Dimension in Human Resource Policy and Planning. Human Resources for Health Development Journal (HRDJ) Vol. 4 No. 1 January - April, 2000

⁹ Division of Development of Human Resources for Health, World Health Organization. Methodology for planning of human resources for health. Report of a consultation, Bangkok, Thailand, 23-27 March. Geneva: World Health Organization, 1992

¹⁰ Martineau T, Martinez J, Eds. **Workshop on human resources and health sector reforms. Research and development priorities in developing countries.** Liverpool School of Tropical Medicine, 1996

GENDER-RESPONSIVE PLANNING (GRP)

Table 3: Development of gender-responsive human resource planning capacity

CONTRIBUTING FACTORS	GENDER ISSUES	DATA COLLECTION NEEDS
Information on staffing for planning and monitoring purposes	Should be disaggregated by gender at all levels	
Liaison with Department of Education on HRD requirements	Addressing women's disadvantage in educational opportunity	Monitoring of school dropout rates and studies of reasons for lower educational achievement among girls
Effective and efficient use of qualified women	Shortage of women in senior staff management positions	Case studies of barriers faced by women
Planning methodologies	Greater consultation with stakeholders, particularly female users	

POST-PROVISIONING MODEL

8. POST PROVISIONING MODEL

The post provisioning model for the allocation of posts to departments is based on the principle that available posts are distributed within a department proportionally to its number of weighted services. The concept of weighted services is used to enable institutions within a department or service-delivery point to compete on an equal footing for posts. As some services require some degree of differentiation and a more favourable post allocation than others, each service is given a certain weighting that reflects its relative need in respect of post provisioning. Other factors like the size of the establishment, the need to redistribute resources and the need to ensure equal access to the services may require that additional weighted services be allocated to some departments. A weighted service engagement for each institution is determined, which, in relation to the total workforce of the department, reflects its relative claim to the total pool of available posts within the department.

An example where this model is primarily used is the education and health sectors.

The model is modified periodically according to revised weighted factors. Below are factors that are taken into account in determining post provisioning needs.

- educational and administrative needs,
- workload of employees,
- size of the department,
- language medium,
- disability requirements,
- access to services,
- poverty,
- level of funding, and
- any other ad hoc factors.

After the total number of weighted services for each department has been determined, the number of posts to be allocated to a department is determined.

MTEF HR PLAN, ANNUAL ADJUSTED HR PLAN

9. MTEF HR PLAN AND ANNUAL ADJUSTED HR PLAN

The overall aim of this Guideline and Toolkit is to support departments in obtaining the information they need to develop a practical action-oriented **MTEF Strategic HR Plan** and an **Annual Adjusted HR Plan** that support the Human Resource Planning Strategic Framework for the Public Service. Departments are therefore required to develop an MTEF HR Plan that is aligned to the Departmental Strategic Plan and annually review the HR Plan in order to make adjustments.

9.1 Period covered

Departments have to develop HR plans addressing their key workforce challenges for the five-year period spanning the MTEF cycle. Implementation will be on an annual basis covering the current financial year to the end of the year. Departments will have to review implementation prior to the next budget period. The outcomes should be continuously monitored and evaluated to determine progress in addressing the gaps and specifically where adjustments to the plan and implementation are needed.

9.2 Focus of plans

HR plans should consider strategic HR planning priorities as reflected in the Human Resource Planning Strategic Framework for the Public Service. Departments' strategies should include action plans for recruitment, retention and training strategies that target the following areas:

- **UNDERSTANDING THE NATURE OF THE WORKFORCE** (defined on page 74 of the Human Resource Planning Strategic Framework for the Public Service)
- **ATTRACTING AND RECRUITING THE BEST PEOPLE** (defined on page 77 of the Human Resource Planning Strategic Framework for the Public Service.)
- **RETAINING AND DEVELOPING THE MODERN, RESPONSIVE AND PROFESSIONALISED WORKFORCE** defined on page 80 of the Human Resource Planning Strategic Framework for the Public Service.)
- **ENSURING EQUALITY AND DIVERSITY IS AT THE HEART OF STRATEGY, POLICY-MAKING, PLANNING AND DEVELOPMENT** defined on page 88 of the Human Resource Planning Strategic Framework for the Public Service.)

Guidelines and an HR Template for creating action plans to address these areas are included in this guide.

9.3 Planning cycle

The schedule for the completion of the HR planning template is presented below – see page 94 and 96 of the Human Resource Planning Strategic Framework 2015 for a more detailed explanation of the planning process.

HR planning template

MONTH	Jan	Feb	March	Apr	May	June	July	Aug	Sept	Oct	Nov	Dec	Jan	Feb	March
ACTIVITY															
Continuation of previous HRP implementation, M&E and review															
HRP project start-up															
Consultation															
Submit HRP and HRP implementation plan for approval															
Implementation															
Submit to DPSA															
Semi-annual progress report to DPSA															
M&E															
Annual report															

MTEF HR PLAN, ANNUAL ADJUSTED HR PLAN

9.4 Submission date

Departments should submit departmental HR plans, including their HRP implementation plans, to the Department of Public Service and Administration on 30 June of every year. Departments have to conduct analyses and develop action plans.

9.5 Reporting to the dpsa

Departments should submit department-level reports to the dpsa. They also have to prepare progress reports and annual reports on implementation. The progress report needs to be submitted to the dpsa every six months after implementation and an annual report needs to be submitted at the end of the financial year. Report templates are provided (attached as *Appendix L* of this guide), to be used by departments in submitting progress reports and final annual department-level reports to the dpsa.

The HR Plan and report should be submitted to the Directorate HR Planning as a hard copy and electronically at the following address:

Chief Directorate: Human Resources Planning
Department of Public Service and Administration
Batho Pele House
Private Bag X916
Pretoria
0001

Tel: +27(0)12 336 1272

Fax: 086 618 8643

Email: hrp@dpsa.gov.za

FORMAT OF THE HR PLAN

10. FORMAT OF THE HR PLAN

This section outlines the core elements of the HR Plan with which all departments must comply. The pro forma HR planning template is attached as [Appendix C](#).

The format is a minimum mandatory format and cannot be changed without prior approval of the Director-General: DPSA.

To ensure consistency across departments and provinces, the plans must be presented in the following format:

- (i.) COVER
- (ii.) SIGN-OFF
- (iii.) EXECUTIVE SUMMARY ([Appendix C](#))
- (iv.) SUMMARY HRP DATA FACT SHEET ([Appendix C](#))
- (v.) LIMITATIONS
- 1. INTRODUCTION
- 2. STRATEGIC DIRECTION
- 3. ENVIRONMENTAL SCAN
- 4. WORKFORCE ANALYSIS (SUPPLY AND DEMAND)
- 5. HUMAN RESOURCE GAP ANALYSIS
- 6. PRIORITY DEPARTMENTAL HUMAN RESOURCE ISSUES
- 7. BUDGET ANALYSIS
- 8. IMPLEMENTATION/ACTION PLAN
- 9. MONITORING, EVALUATION AND REVIEW
- 10. RECOMMENDATIONS
- 11. CONCLUSION

METHODOLOGY

11. METHODOLOGY

“Joint or cross-cutting programmes are a crucial test of integrated and co-operative governance. A framework for managing joint programmes in government has been approved by Cabinet. It is aimed at addressing the weaknesses in the current procedures and processes of planning, budgeting and implementation that are hampered by weak capability to deliver.”

Minister Geraldine Fraser-Moleketi – Budget Vote 2006

Figure 3 below illustrates the methodological framework for HR planning within the public service. The HR planning process is essentially a cyclical one and involves the constant integration of business and HR planning-specific activities, as well as feedback on the implementation of the HR plan overall. The HR plan **must be aligned** with the strategic priorities of government, as well as the departmental strategic plan.

The HR planning methodology comprises **seven major components**, with additional steps aimed at assisting HR planners to achieve the outputs for each component:

1. Setting the strategic direction – this includes understanding departmental objectives and using this information to forecast HR demand
2. The environmental scan (both external and internal)
3. Workforce analysis – this includes the analysis of nine

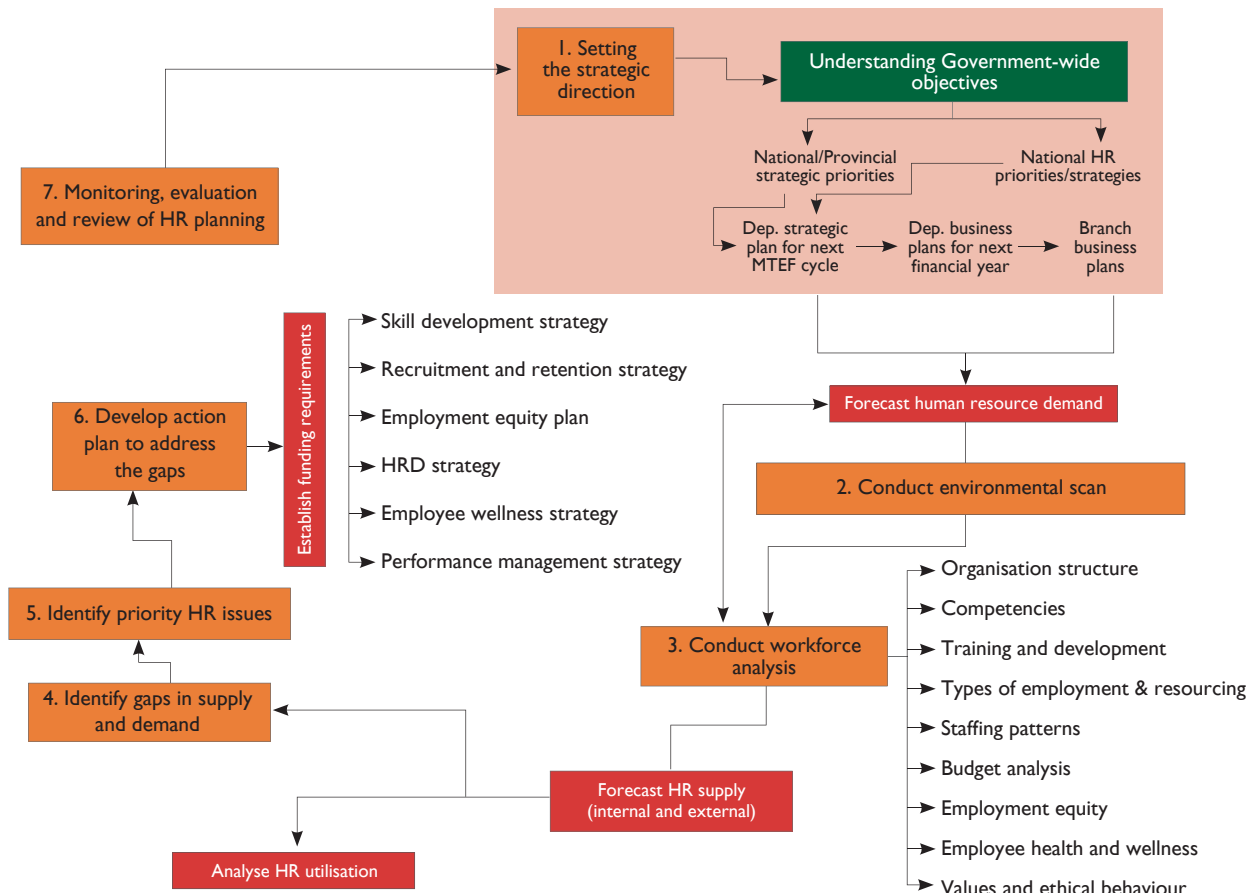
key areas and helps forecast HR supply

4. Identification of gaps in supply and demand – information from the HR utilisation analysis informs this component of the HR planning process
5. Identification of priority HR issues
6. Development of an action plan to address the gaps – a key area for consideration is the establishment of funding requirements so that the appropriate financial resources are available for the implementation of the HR plan
7. Monitoring evaluation and review of HR planning



Actions emerging from the use of this HR planning methodology must be reflected in the implementation action plan as per the template in *Appendix K*. Each component is unpacked in detail in sections 11.1 to 11.7 below

Figure 3: Proposed human resource planning methodology



METHODOLOGY

11.1 Analytical tools and techniques for HR planning

Modelling is an important part of understanding and analysing the workforce supply and demand in order to ensure that organisational goals and objectives are achieved. With analytical tools and statistical techniques, HR planners can develop projections. Best of all, the tools can enable HR planning processes to be simple and effective. A good HR plan requires planners to use proper strategic HR planning techniques.

Examples of different judgemental and statistical demand and supply forecasting techniques:¹¹

Examples of **judgemental demand** forecasting methods include:

- *The Delphi Technique* – a large number of experts take turns to make forecast statements and assumptions. The forecasts are then reviewed until a viable composite forecast emerges.
- *The Nominal Group Technique* – this involves multiple inputs from several different people. People sit around a table and independently list their ideas regarding the forecast on a sheet of paper. They then take turns expressing their ideas to the group, after which ideas are recorded for future reference.
- *The Managerial Judgement Technique* – managers in consultation with staff decide on future departmental activities and the types of competencies that are likely to be necessary for success.

Examples of **statistical demand** forecasting methods include:

- *Linear regression analysis* – examination of the relationship between two variables, e.g. level of service delivery and level of employment
- *Multiple linear regression* – examination of the impact of a number of different independent variables on the dependent variable, e.g. dependent variable = employment demand; independent variables = production, productivity and equipment-use data
- *Unit demand forecasting technique* – managers provide certain labour estimates because they know the work activity that will be performed by their department in the future
- *Productivity ratios* – historical data is used to examine past levels of a productivity index (P):

P =	Workload
	Number of people

- *Personnel ratios* – historical personnel data is examined to determine historical relationships among employees in various jobs or job categories
- *Time series analysis* – historical staffing levels (NOT workload indicators) are used to project future human resource requirements

Examples of **judgemental supply** forecasting techniques include:

- *Replacement planning* – a short-term technique making use of replacement charts to show names of current incumbents in positions as well as names of likely replacements irrespective of gender, race, age
- *Succession planning* – a longer-term more flexible approach focusing on the development of a suitable pool of potential managers/leaders

Examples of **statistical supply** forecasting techniques include:

- *Markov analysis* – a future-projection technique based on an analysis of historical personnel data relating to losses, promotions, transfers, demotions and recruitment
- *Simulation* – the anticipated effects of policy or programme changes relating to voluntary or involuntary turnover, retirement, promotion and future availability of human resources
- *Renewal analysis* – future flows and availability of human resources are assessed by calculating vacancies created by organisational growth, personnel losses and internal movements, as well as the results of rules governing the filling of posts
- *Goal programming* – desired staffing patterns are established, and guidelines and total salary budgets given in order to optimise the achievement of goals

11.2 Setting the strategic direction

An HR strategy must be aligned to the department's goals and objectives. Human resource planning is a significant factor in the department's strategy. The workforce that is needed to achieve the goals and objectives must form part of the HR strategy. HR planners therefore have to ensure that there is alignment between strategic planning and HR planning.

¹¹ For further information refer to Erasmus, B (2005). *South African Human Resource Management for the Public Sector*. pp 146-150

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Refer to [Appendix E](#) for Readiness Checklist to set the strategic direction

Refer to [Appendix F](#) for Understanding the Strategic Plan of the Department

Strategic HR planning is a significant cornerstone for the efficient use of human capital and the improved functioning of the entire department. The first step in strategic HR planning is the creation of an environment that is conducive to carrying out the crucial set of activities necessary to complete the HR plan.

At this stage it is important to have a thorough understanding of the department's strategic plan. **First ensure that the strategic plan is in place.**



Refer to [Appendix F](#)

In Figure 3, the process of setting the strategic direction and understanding the departmental objectives will result in a good understanding of the human resources required (HR forecast) by the department going forward in order to deliver against its business objectives.

11.3 Forecasting HR demand

Forecasting involves the identification of future changes and developments that may result in a demand-supply gap. The recognition of these events and issues then allows various assumptions to be made. These assumptions form the basis of forecasting and can be modified to reflect different real-life scenarios. The aim is to obtain the necessary human resources in order to optimise the future position of the organisation.

After successfully completing this aspect of the guideline, Section 3 of the HR Plan Template can be completed.

11.4 Conduct environmental scan – external and internal factors



Refer to [Appendix G.1](#), [G.2](#) and [G.3](#) for Environmental Scan Checklists and further information

The environmental scan is an important step in the HR planning process within the public service and does not occur in a vacuum. It is a means of assessing significant international, national and provincial trends likely to impact on the HR function overall, as well as on available human resources in particular.

Environmental scanning identifies factors and trends that will influence the future of an organisation. It identifies risks and implications associated with these trends. It looks at the present situation, as well as at future potential developments. Environmental scanning looks at the situation outside the organisation, as well as within, including opportunities and threats. Information gathered through the scan is combined with that derived from workforce analysis. Then the impact of these on business goals is analysed to determine current and future human resource needs.

An environmental scan:

- is not an action plan, a business plan or an HR plan,
- does not tell what to do or how to address issues, and
- does not analyse issues in depth.

It is therefore important to manage stakeholders' expectations about what they will be able to do with the results of the scan.

11.4.1. External environmental scan



Refer to [Appendix G.1](#) and [G.2](#) for Environmental Scan Checklists and further information

The external environmental scan involves the analysis of international, national, political and spatial development considerations within the environment and their varying impact on HR planning, in terms of policy statements, programmes and service-delivery drivers.

The external environmental scan should list all significant macro-forces/-trends/-issues likely to impact on HR planning within the department. Without this essential phase, the planning components are likely to be isolated from both the provincial and national context. Developing recruitment and talent retention strategies in the absence of a thorough understanding of skills shortages and trends throughout the country and specifically within the province could be described as a fruitless exercise. All implementation plans going forward should be grounded in this macro-context.

In addition, HR planners must work closely with managers and stakeholders, who should have a well developed understanding of the macro-trends and forces impacting on service delivery within the department. The environmental scan should never be only a document review process, but rather one in which stakeholders are actively engaged in the discussions.

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Table 4 below shows the typical areas of an external environmental scan applicable to the Public Service.¹² Please note that this is not intended to be an exhaustive list and provides examples only. **Each department would need to complete this process based on its unique needs and challenges.**

Table 4: Example of environmental factors

FACTORS	ENVIRONMENTAL SCAN
International influences	South Africa's global position (e.g. UN, WEF, World Bank) – relevant bilateral and multilateral relationships, labour market trends (e.g. ILO)
Pan African influences	South Africa's position on the continent (e.g. NEPAD, APRM, AU) – relevant bilateral and multilateral relationships
National political influences	Role of elected officials, political appointees, legislators and interest group representatives, national policy decisions, programmes of action
Technological developments	Changes in means of communication (e.g. video-conferencing, internet, e-mail, scanners) and changes in hardware and software (e.g. faster data-processing and voice-recognition software)
Economic conditions	Interest rates, employment rates, inflation rate, strength of rand, tax revenue, budgets and recessions
Legal measures	Acts of parliament, draft bills, regulations and white papers
Social conditions	Crime rate, influence of HIV and AIDS on labour-market supply, status of education
Resource providers	Parliament, Department of Public Service and Administration, National Treasury, Public Service Commission, international donor community, private sector, tertiary institutions

External scan areas

The external environmental scan can be carried out using the areas of analysis contained in the PESTEL¹³ acronym, which stands for:



The PESTEL table in [Appendix G.2](#) should be used to help with the analysis

Table 5: PESTEL

P	olitical (regulators, politicians)
E	conomic (world trends, SA trends, public service trends)
S	ocial (cultural change, expectations, demographics, family change)
T	echnological
E	nvironmental
L	egislative

¹² Erasmus, B. et al (2005). *South African Human Resource Management for the Public Sector* pp 102. Taken from Moore (1987: 7-12) and Van der Westhuizen (2000:62-68)

¹³ www.improvementnetwork.gov.uk

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11.4.2 Internal environmental scan

The internal environmental scan involves an analysis of factors specific to the department that are likely to affect HR planning.

The table below shows typical internal environmental scan areas for the public service.¹⁴

Complete your departmental environmental scan in the HR Plan Template



Refer to [Appendix G.3](#) to help you with the internal environmental scan analysis

Table 6: Internal scan assessment

FACTORS	INTERNAL ENVIRONMENTAL ANALYSIS
Departmental alignment	<ul style="list-style-type: none"> □ The extent of overall alignment of business and HR strategies □ Organisational structure aligned to service delivery
Organisational development	<ul style="list-style-type: none"> □ Management by objectives, organisational life cycle, learning organisation, flexi-time, managing diversity, dual-career families
Demographics	<ul style="list-style-type: none"> □ Composition of the departmental workforce, number of people retiring, leaving, staff turnover etc.
Employee health and wellness	<ul style="list-style-type: none"> □ Prevalent rate of potentially serious conditions (e.g. HIV and AIDS, high blood pressure, diabetes, heart disease, stress), the quality of work life and their potential impact on supply

11.4.3 Integration of external/internal environmental scan information

For successful environmental scanning to take place, it is essential that external and internal scanning information be integrated throughout the process as well as in the final HR Plan. In order to do this, the scanning process must take place along four major dimensions, namely:¹⁵

- **Degree of uncertainty** (how much information is available to make relevant and appropriate decisions)
- **Volatility** (how often the different environment factors change)
- **Magnitude of change** (how drastic the changes are)
- **Complexity** (how many different factors in the environment affect the organisation)

In preparation for such discussions, environmental scan information is available from multiple sources. A list of suggested sources can be found in [Appendix G.2](#).

Identifying and analysing key HR issues and implications from both the external and internal environment form the beginning of the HR planning process. Most of the relevant environmental

scan information should be summarised in the comprehensive departmental strategic plan. The impact of environmental factors must be linked to the overall impact on departmental human resources.

During this component of the HR planning process, it is important to understand the influence that these external and internal environmental factors are likely to have on the department so they can be appropriately managed and incorporated in Section 3 of the HR Plan. By the end of the environmental scanning process you should have achieved the following:

- a summary of the important key environmental factors impacting on the department (section 3.1 and 3.2 of the HR Plan Template),
- a summary of relevant environmental macro-trends impacting on the department (section 3.3 of the HR Plan Template),
- a summary of the envisaged changes in the macro-environment and the potential impact on the department and partners/stakeholders (section 3.4 of the HR Plan Template), and
- a summary of the labour-market trends impacting on the department (section 3.5 of the HR Plan Template).

¹⁴ Adapted from Erasmus, B. et al (2005). *South African Human Resource Management for the Public Sector*. pp 102

¹⁵ Erasmus, B et al (2005). *South African Human Resource Management for the Public Sector*. pp 101-103

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At the end of this activity Section 3 of the HR Planning Template can be completed.

11.5 Conduct workforce analysis (forecast HR supply and demand)

Workforce analysis

A key component of HR planning is to understand the workforce and plan for both shortages and surpluses in specific occupations and skills sets. The workforce analysis contributes to determining the relevant supply and demand information required for effective HR planning. All relevant information must be gathered during this step.

It is imperative that the department develops a thorough understanding of current and future staffing needs (demand), as well as current and future availability (supply) of specific human resources in order to deliver on strategic plans and priorities. The department must fully understand the associated trends and risks that are likely to have a direct impact on the supply and demand projections.

These risks may be internal or external to the department, as well as within or beyond its control. At all times, the workforce analysis must be conducted within the context of relevant public service regulations, guidelines, norms and standards. **The onus is on the HR practitioner to ensure that he or she is familiar with all relevant information relating to HR planning.**

A thorough understanding of all components of the workforce is essential for an effective HR planning process. There are nine key areas for consideration when conducting the workforce analysis, namely:

1. organisational structure,
2. competencies,
3. training and development,
4. types of employment and resourcing,
5. staffing patterns,
6. employment equity,
7. employee health and wellness,
8. values and ethical behaviour, and
9. budget analysis.

At the end of this activity of the analysis you will be able to complete Section 4 of the HR Planning Reporting Template.

The nine key areas are summarised in the sections below.



Refer to *Appendices H1 to H9* for detailed workforce analysis checklists

The analysis of the workforce should involve answering the following questions, amongst others:¹⁶

- Does the department have the relevant knowledge, skills and behavioural attributes available to deliver on its mandate?
- Does the department have the right number of employees at the right levels and in the right section of the department to deliver effectively?
- Does the department need more or fewer employees in a permanent or temporary capacity?
- Will the department be in a position to re-skill current employees to deal with changes in both the external and internal environment (e.g. technological developments, economic conditions, service delivery changes)?
- Is the workforce of the department representative of the communities it serves?
- What are the obstacles to equal opportunity for the department?

11.5.1 Organisational structure



Refer to *Appendix H1* for a checklist of organisational structure issues

This involves a comprehensive assessment of the structure of the department and its impact (both positive and negative) on service delivery overall. All HR planners should ensure that they have access to current dpsa regulations regarding the organisational structure (Chapter 1, Part III B.2, circular no. 17/4/1/3/6 dated 27 June 2006), and to the Guide and Toolkit on organisational design.

Please note that in situations where the organisational structure has not been approved, it will be necessary to work with the approved version in order to move the HR planning process along. The absence of an approved organisational structure, although serious in its implications as well as frustrating, should not be used as a reason to stop the HR planning process.

¹⁶ Adapted from Erasmus, B (2005). *South African Human Resource Management for the Public Sector*. pp 132

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The following table should be used within the HRP Template to reflect on the envisaged structural changes.

Table 7: Envisaged structural aspects

ORGANISATIONAL STRUCTURE: DEMAND AND SUPPLY																					
SALARY LEVELS & JOB TITLE		POST DEMAND (what you need)			SUPPLY			GAP (+/-)			TO BE ABOLISHED			FUTURE ADDITIONAL REQUIRED POSTS			FUTURE ENVISAGED STRUCTURE				
		Y1	Y2	Y3	Y1	Y2	Y3	Y1	Y2	Y3	Y1	Y2	Y3	Y1	Y2	Y3	Y1	Y2	Y3		
16	DG																				
15	DDG																				
14	CD																				
13	D																				
12	DD																				
11	DD																				
10	AD																				
09	Various																				
08	Various																				
07	Various																				
06	Various																				
05	Various																				
04	Various																				
03	Various																				
02	Various																				
01	Various																				

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The following table should be used within section 4 of the template and must reflect management of the current and envisaged posts.

Table 8: Management of current and envisaged posts

SALARY LEVELS & JOB TITLE		Current Y1				Future Y2			
		Post demand (what you need)				Anticipated post demand (what you may need)			
		Y1 proposed	Y1 approved	Y1 funded	Y1 unfunded	Y2 proposed	Y2 approved	Y2 funded	Y2 unfunded
16	DG								
15	DDG								
14	CD								
13	D								
12	DD								
11	DD								
10	AD								
09	Various								
08	Various								
07	Various								
06	Various								
05	Various								
04	Various								
03	Various								
02	Various								
01	Various								

The process should involve the identification of any potential barriers to effective performance of the department based on the constraints linked to the approved organisational structure.

It is important for departments to conduct their own assessment of structural challenges that might have a negative impact on service delivery as well as on the human resources expected to deliver the services. Use the table below to capture structural challenges within the HR planning template.

Table 9: Organisational structure review

STRUCTURAL FUNCTION	BARRIER/ CHALLENGE TO DELIVERY	IMPACT ON HR	ACTION STEPS REQUIRED

METHODOLOGY

Table 10 has to reflect the HR template within the number of job evaluations conducted per level within the past three years.

Table 10: Job evaluations conducted for the past three years

SALARY LEVELS	JOB TITLE	EVALUATIONS CONDUCTED		
		YEAR 1	YEAR 2	YEAR 3
16	DG			
15	DDG			
14	CD			
13	D			
12	DD			
11	DD			
10	AD			
09	Various			
08	Various			
07	Various			
06	Various			
05	Various			
04	Various			
03	Various			
02	Various			
01	Various			

11.5.2 Competencies

Competencies are defined in the PSR as the *blend of knowledge, skills, behaviour and aptitude that a person can apply in the work environment, which indicates a person's ability to meet the requirements of a specific post*. This part of the analysis involves identifying the relevant competencies the department requires in the current situation and in the future. A thorough understanding of the specific skills development context for the public service is imperative. The HR planner must be familiar with the relevant trends per occupational category in the country as a whole. In addition, HR planners in the provinces must pay particular attention to any relevant provincial deviations from national trends. This information is essential for an informed HR plan.

There are two important aspects for consideration when doing this section of the analysis. These are an understanding of the meaning of critical and scarce skills, as well as access to relevant staffing norms and standards/benchmark data applicable to the department.

Determining required competencies is based on a thorough understanding of the department's strategic plan, organisational structure and service delivery model, as well as the associated departmental programmes. **The competency analysis must be carried out in line with existing systems such as the Senior Management Service (SMS) and Middle Management Service (MMS) competency frameworks, the CORE and the Occupational Classification System.**

The competency analysis, in determining both supply and demand, involves judgemental as well as statistical methods. Judgemental processes involve input from experts and stakeholders, whilst statistical methods are used to capture historic trends in the demand for labour.



Refer to [Appendix H2](#) for further information

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The competency analysis entails answering the following sets of questions:

1. **In order to achieve our departmental objectives and adequately deliver on our programmes, what knowledge, skills and competencies do we require, per occupation?**

Once this question has been answered, the following questions must be asked:

2. **Now that we know what we need, which of the competencies do we currently have in the department per occupation classification, ready for immediate use?**
3. **Do any of the incumbents have the potential to be developed?**

And lastly,

4. **Which of the competencies lacking in the department, per occupation classification, are currently categorised as core and/or critical?**
5. **Are any competencies likely to become critical in the future?**

(Refer to environmental scan information, where applicable.)



Use *Appendix H2* to complete this section of the analysis

The table below will assist in identifying competencies per occupational classification.

Table II: Competency review

OCCUPATIONAL CLASSIFICATION (OFO)/LEVELS	IDENTIFIED COMPETENCIES PER OCCUPATIONAL CLASSIFICATION	AVAILABILITY OF COMPETENCIES		CAN BE DEVELOPED	
		Yes	No	Yes	No

11.5.2.1 Core competencies

According to leadership management and development strategic frameworks, the main purpose of the development of core competencies for managers, supervisors and employees of the public service is to establish a common competency framework against which human resource management activities,

including training and development, can be aligned, devised and implemented.

The table below will assist in analysing CORE competencies.

Table I2: Critical competencies

CRITICAL COMPETENCIES	CURRENT SUPPLY				FUTURE SUPPLY				RISK		RISK ASSESSMENT: HIGH, MEDIUM, LOW		
	Internal availability		External availability		Internal availability		External availability		Y E S	N O	H	M	L
	A	B	C	D	A	B	C	D					

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11.5.2.2 Critical skills¹⁷

Critical skills refer to particular capabilities needed within an occupation, for example, general management skills, communication and customer handling skills, teamwork skills and communication technology skills. Secondly, occupationally specific 'top-up' skills required for performance within the specific occupation.¹⁸

Use the table below to indicate skills that are currently critical, as well as skills that are likely to become critical in the future.

Table 13: Critical skills

CRITICAL SKILLS	CURRENT SUPPLY				FUTURE SUPPLY				RISK		RISK ASSESSMENT: HIGH, MEDIUM, LOW		
	Internal availability		External availability		Internal availability		External availability		YES	NO	H	M	L
	A	B	C	D	A	B	C	D					

11.5.2.3 Scarce skills

Scarce skills are defined as those occupations in which there is a scarcity of qualified and experienced people – current or anticipated.

The Department of Labour has also included a differentiation between absolute and relative scarcity of skills in the definition:

- **Absolute scarcity** refers to suitably skilled people who are not available in the labour market. Specific contexts in which absolute scarcities may arise include:
 - A new or emerging occupation, i.e. there are few, if any, people in the country with the requisite skills.
 - Firms, sectors and even the national economy are unable to implement planned growth strategies because productivity, service delivery and quality problems are directly attributable to a lack of skilled people.
 - Replacement demand would reflect an absolute scarcity where there are no people enrolled or engaged in the process of acquiring skills that need to be replaced (DoL, 2006c).

- **Relative scarcity** refers, for example, to the context where suitably skilled people are in fact available in the labour market but they do not meet other employment criteria, for example:
 - High-level work experience, such as project management of large construction sites like dams or power plants.
 - Geographical location, for example, when people are unwilling to work outside urban areas.
 - Equity considerations, for example, when there are few if any candidates with the requisite skills from specific groups available to meet the skills requirements of firms and enterprises (DoL, 2006c).

Use the table below to indicate skills that are currently scarce as well as skills that are likely to become scarce in the future.

¹⁷ National Scarce Skills List 2007

¹⁸ Draft Interim Framework for SETAs – Identifying and Monitoring Scarce Skills 28 June 2005. pp 10-11

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Table 14: Scarce skills

SCARCE SKILLS	CURRENT SUPPLY				FUTURE SUPPLY				RISK		RISK ASSESSMENT: HIGH, MEDIUM, LOW		
	Internal availability		External availability		Internal availability		External availability		Y E S	N O	H	M	L
	A	B	C	D	A	B	C	D					

11.5.2.4 Qualification levels per NQF

The National Qualifications Framework is a set of principles and guidelines by which records of learner achievement are registered to enable national recognition of acquired skills and knowledge, thereby ensuring an integrated system that encourages lifelong learning. Qualifications recorded should meet the National Standards Body regulations.

Use table below to capture information on level of qualifications in terms of NQF.

Table 15: Qualifications

HIGHEST QUALIFICATION	TOTAL NUMBER	% TOTAL
National Certificate, Grade 9, ABET Level 4 (GETC)		
National Certificate, Grade 12 (FETC)		
National certificates		
National diplomas		
Higher diplomas		
Postgraduate diplomas		
Technical certificate		
National Technical Certificate		
National first degrees		
Honours degrees		
Master's degrees		
PhDs/Doctorates		
Post-doctoral research degrees		
Other		

METHODOLOGY

Table 17 should reflect the number of employees without qualification per age group.

Table 16: Number of employees without qualifications

LEVEL	AGE GROUPS											TOTAL
	<19	20-24	25-29	30-34	35-39	40-44	45-49	50-54	55-59	60-64	>64	
16												
15												
↑												
1												

Departments have to list short courses attended in support of critical and scarce skills and indicate number of employees as % of workforce.

Table 17: Short courses attended for the past three years

NAME OF COURSE	YEAR 1		YEAR 2		YEAR 3		COST
	No.	%	No.	%	No.	%	

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Use table below to indicate the fields of study that are in demand and rate them in terms of priority (1 being the highest and 5 being the lowest). In your HRP template, identify strategies to address the issues of availability in terms of those key fields of study.

- relevant performance management systems, and
- Employment equity plans.



Refer to [Appendix H3](#) for further information

Table 18: Field of study

FIELD OF STUDY	TOTAL NUMBER	% OF TOTAL WORKFORCE	PRIORITY RANKING (1-5)
Agriculture and related fields			
Culture and arts			
Business, commerce and management studies			
Communication studies and language			
Education, training and development			
Manufacturing, engineering and technical			
Human and social studies			
Law, military science and services			
Health science and social services			
Physics, mathematics, computers and life sciences			
Services			
Physical planning and construction			
Other (specify)			

11.5.3 Training and Development

The aim of this section of the analysis is to ensure that the HR planning activities of the HR management domain are linked to those of HR development practitioners. A solid working relationship between the HRM and HRD functions is fundamental to the overall success of HR planning within the department, both in terms of the development of the plan and of its ultimate implementation. HRD also has a role to play in assisting HR planners identify skills/competency gaps, through its involvement with skills audits and workplace skills plans. Many of the competency gaps identified in the final analysis may be closed through appropriate training and development interventions. In addition, training and development interventions can be powerful and effective talent management strategies if appropriately utilised.

Training and development information can be found in multiple sources and include, amongst others:

- the department's HR development strategy,
- the department's workplace skills plan (WSP),
- the relevant/applicable SETA sector skills plan,
- annual training reports (ATRs),
- individual/personal development plans,

At the end of this section of the analysis, competency gaps should be linked to appropriate training interventions as well as key HR development interventions to promote HR planning. Activities should be listed (e.g. using the emerging management development programme as a means of retaining potential managers within the department).

In order to ensure maximum effectiveness of the HRP process and ensure alignment with all training and development interventions, it is fundamental that HRD be viewed as a critical partner for the HR planning team, particularly when addressing this section of the analysis. For example, the Emerging Management Development Programme (EMDP) may need to be expanded upon/revised to ensure that it is at the right level and captures the attention of the target market.

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The following table should be used under section 4.3 of the HRP Template to indicate the competency gap and name of appropriate intervention that will close the gap identified.

- Assessment of the budgetary implications of the types of employment.
- Impact of the types of employment on the succession planning and talent management issues of the department (e.g. contract positions for top management positions)

Table 19: Training and development analysis

COMPETENCY GAP	NAME OF APPROPRIATE INTERVENTION	TRAINING PROGRAMME READILY AVAILABLE (Y/N)	NUMBER OF PEOPLE TO ATTEND TRAINING			PROPOSED BUDGET
			Y1	Y2	Y3	

11.5.4 Types of employment and resourcing

It is very important for the HR planning process to involve a thorough understanding of the types of employment options available to the department. This understanding will assist in the development of appropriate solutions to meet effectively the resourcing challenges facing the recruitment and selection team within the department. **As always, it is the HR planner's responsibility to ensure that he or she is very familiar with the relevant Public Service Guidelines relating to types of employment.**

and the impact on service delivery and continuity in the department¹⁹, graduates seeking the security of a permanent position as opposed to temporary or contract positions, as well as the appropriate use of redeployment opportunities for key positions within the department).

- In addition, problems associated with particular types of employment should be escalated to relevant decision-makers and/or stakeholders in the HR planning process.

All other relevant information must be included in this analysis (e.g. recruitment plans).

In order to carry out this component of the analysis the following areas must also be considered:

Use table below to capture the outcome of this analysis.

- Identification of all types of employment within the department.
- The current organisational structure and any appropriate decisions about types of employment for any particular occupational classification (e.g. permanent versus contract employment).

Table 20: Types of employment

IDENTIFIED EMPLOYMENT TYPE	NUMBER OF EMPLOYEES PER PROGRAMME					TOTAL
	Pr. 1	Pr. 2	Pr. 3	Pr. 4	Etc	
Temporary						
Contract						
Permanent						
Internship						

¹⁹ Notwithstanding the performance management drivers for contract positions.

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Use table below to capture information on identified types of employment and problems pertaining to those identified employment types.



Refer to [Appendix H4](#) for further information.

Table 21: Problems/issues pertaining to employment types

EMPLOYMENT TYPE	PROBLEMS/ISSUES ARISING ²⁰	ACTION STEPS REQUIRED
Temporary		
Contract		
Permanent		
Internship		

11.5.5 Age profile of workforce

The age profile is important in determining the characteristics of the workforce information. The detailed age profile report identifies age distributions for specific programmes and levels. Age ranges provide a detailed view of employees and even includes employees younger than age 20. HR planners can also use this information to assess whether organisations have an ageing workforce and may need to attract more young people with new ideas and knowledge.

Use table below to capture the age profile of employees per programme.

Table 22: Human resources profile by age per programme

AGE	NUMBER OF EMPLOYEES PER PROGRAMME					TOTAL	
	Pr. 1	Pr. 2	Pr. 3	Pr. 4	Etc	Number	% of Workforce
< 20							
20-24							
25-29							
30-34							
35-39							
40-44							
45-49							
50-54							
55-59							
60-64							
>64							
TOTAL							

²⁰ Including budgetary implications.

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Use table below to capture the age profile of employees per level.



Refer to the checklist in [Appendix H7](#) for further information

Table 23: Human resource profile by age and salary levels

LEVEL	AGE GROUPS											TOTAL
	<19	<20	25-29	30-34	35-39	40-44	45-49	50-54	55-59	60-64	>64	
16												
15												
14												
13												
12												
11												
10												
09												
08												
07												
06												
05												
04												
03												
02												
01												
TOTAL												

11.5.6 Employment equity

This section involves understanding the operational demands of the Employment Equity Act, both in terms of numeric and non-numeric targets per occupational classification. All relevant employment equity information must be used during this analysis (e.g. existing employment equity plans). Based on this information, employment equity representation gaps can be identified. Use the table below to capture important information.

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Use table below to capture the employment equity profile of employees per level.

Table 24: Employment equity

LEVELS	FEMALES ²¹				MALES				TOTAL
	A	C	I	W	A	C	I	W	
Senior management									
Middle management									
Professionals									
Skilled technical									
Semi-skilled									
Unskilled									
Total permanent									
Non-permanent									
GRAND TOTAL									

Use table below to capture the employment equity targets of the designated groups per level and reflect the current % and gap as well as action steps required to close the gap.

Table 25: Employment equity targets

DESIGNATED GROUP	LEVELS	TARGET %	CURRENT %	% GAP	ACTION STEPS REQUIRED
Black people	13-16				
	11-12				
	1-10				
Average % sub-total					
Women	13-16				
	11-12				
	1-10				
Average % sub-total					
People with disabilities	13-16				
	11-12				
	1-10				
Average % Sub-total					
Average % TOTAL					

²¹ KEY – **A:** African, **C:** Coloured, **I:** Indians, **W:** Whites

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This table should reflect desired employment equity numerical goals against government-defined targets.

Table 26: Desired (projected) employment equity numerical goals

LEVELS	FEMALES				% MALES				TOTAL
	A	C	I	W	A	C	I	W	
16									
↑									
1-3									
GRAND TOTAL									

11.5.7 Staffing patterns

Staffing pattern data should be presented in this section and should provide HR planners with a general idea of the distribution of occupations within a department. HR planners should be able

to identify the principal occupations in key, targeted occupations and can use staffing patterns to compare the department's demand for various job titles to the available supply.

Table 27: Number of persons employed for the past three years

PROGRAMME	Y1	Y2	Y3	TOTAL
1				
2				
3				
4				
5				
TOTAL				

Table 28: Number of persons employed per occupation

OCCUPATION	Y1	Y2	Y3	TOTAL
TOTAL				

METHODOLOGY

11.5.7.1 Interns and learners as job seekers

As contemplated by Cabinet in December 2002, **internship** is a public service graduate work experience programme targeting unemployed graduates.

Internship gives students workplace experience or an opportunity to practise the work skills that they have studied and will practise

in future. Internships of different kinds are common in fields that include medicine, social work and engineering.

Table 29: Number of learners per learnership programme

NAME OF LEARNERSHIP	DURATION	Y1	Y2	Y3	TOTAL

Table 30: Number of learners (externally) recruited

This table should reflect number of learners recruited per learnership implemented (external).

NAME OF LEARNERSHIP	DURATION	Y1	Y2	Y3	TOTAL

Table 31: Number of anticipated retirements

SALARY BAND	Year 1	Year 2	Year 3	TOTAL
(15-16)				
(13-14)				
(11-12)				
(9-10)				
(6-8)				
(3-5)				
(1-2)				
TOTAL				

METHODOLOGY

11.5.7.2 Termination of employment

Termination of employment is the ending of employment. Termination can be voluntary termination, referred to as “resignation”, or involuntary termination, known as “dismissal”.

This table should reflect number of terminations per salary level.

Table 32: Number of terminations per salary level

REASONS FOR TERMINATION	16-13	12-9	8-5	4-1	TOTAL
Resignations					
Retirements					
Medical retirements/ill health					
Contract expiry					
Deceased					
Dismissals					
Transfer to other state institutions or the Services					
Operational requirements					
Poor work performance					
Transfer outside the public service					
Other					
GRAND TOTAL					

This table should reflect employee reasons for termination.

Table 33: Reasons for termination

EMPLOYEE REASONS FOR TERMINATION	TOTAL NUMBER	% OF TOTAL WORKFORCE
Financial considerations		
Promotion		
Personal aspirations		
Career development		
Relocation		
Leadership and management style of senior management		
Working environment		
Reason(s) not given		
GRAND TOTAL		

METHODOLOGY

11.5.8 Staff turnover, vacancy and stability

Turnover (either across a department as a whole or within a specific unit) relates to dismissals and resignations for a number of different reasons including better employment opportunities, dissatisfaction, end of contract and voluntary departure based on poor performance.

STAFF TURNOVER =	Total no. of leavers over period x 100
	Average total no. of people employed over period

The staff stability index indicates the retention rate of experienced employees. The formula for this is:

STAFF STABILITY =	No. of staff with 1 or more years experience x 100
	No. of people employed a year ago

In addition, staff movement due to transfers/secondments/redeployments to other departments, as well as promotions (both hierarchical and lateral) must also be understood and analysed in terms of HR planning implications. All staff movements must be analysed in terms of type of employment (permanent, contract, temporary, intern, casual) and per occupational classification.

Staffing statistical information is important for the following reasons:

- The impact of staff turnover on the service delivery of the department.
- Understanding the size and changing nature of the competency gaps within the department per occupational classification.
- Effective succession planning within the department.
- Analysis of the overall effectiveness of the talent management strategy of the department per occupational classification as well as in terms of identified high performers.
- Gathering job-specific information (per occupational category, location) that is important for recruitment and selection, especially when attracting new incumbents to the department (e.g. excessive travel requirements may not be suitable for all potential incumbents).
- Impact of the remuneration policy on the talent retention strategy.
- Identifying positive instances of the cross-utilisation of resources between departments that are critical in the current skills shortage context.
- Development of an effective talent retention strategy overall.

Staffing statistics must be documented through the effective use of exit interviews and information-sharing sessions.

METHODOLOGY

11.5.8.1 Staffing statistics review

Table 34: Staff turnover

TREND	Y1	Y2	Y3
Turnover rate			
What plans have been implemented to decrease the turnover rate? Elaborate on resources, costs, timeframes and targets			

Use the table below to capture important staffing statistics information.

Table 35: Staff turnover rate per occupation

STAFF TURNOVER RATE PER OCCUPATIONAL CLASSIFICATION	ORGANISATIONAL IMPACT	RATE OF STAFF TURNOVER			ACTION STEPS REQUIRED
		Monthly	Quarterly	Annual	

Table 36: Turnover analysis by critical occupation

Critical occupations	Number of appointments	Number of terminations	Turnover rate	Organisational impact	Action steps required

Table 37: Turnover analysis: transfers and promotions

TYPE OF MOVEMENT	TOTAL	TOTAL % OF THE WORKFORCE
Horizontal transfers within the department		
Horizontal transfers outside the department to other departments		
Promotion within the department		
Promotion to another department		

METHODOLOGY

The table below indicates the number of employees terminating their services according to race classification.

Table 38: Staff turnover in terms of race and gender classification

RACE	TURNOVER RATE		TOTAL TURNOVER RATE
	Female	Male	
African			
Asian			
Coloured			
White			
GRAND TOTAL			

The table below indicates terminations in terms of race, gender and disability.

Table 39: Staff turnover in terms of disability classification

GENDER	TURNOVER RATE I.T.O. DISABILITY			TOTAL AVERAGE TURNOVER RATE
	RACE	Disabled	Not disabled	
Female	African			
	Asian			
	Coloured			
	White			
Female average % total				
Male	African			
	Asian			
	Coloured			
	White			
Male average % total				
AVERAGE % TOTAL				

METHODOLOGY

11.5.8.2 Vacancy rate

Table 40: Vacancy rate

TREND	Y1	Y2	Y3
Turnover rate			
What plans have been implemented to decrease the turnover rate? Elaborate on resources, costs, timeframes and targets			

Use table below to capture important staffing statistics information.



Refer to [Appendix H5](#) for further information relating to this section of the analysis

11.5.8.3 Stability rate

Table 41: Staff stability

STABILITY RATE PER OCCUPATIONAL CLASSIFICATION	ORGANISATIONAL IMPACT	RATE OF STAFF STABILITY			ACTION STEPS REQUIRED
		Monthly	Quarterly	Annual	

Use table below to capture relevant employment equity information.

Table 42: Employment equity review

DESIGNATED GROUP	OCCUPATIONAL CLASSIFICATION	TARGET	GAP (EXPRESSED AS %)	ACTION STEPS REQUIRED
Black people				
Women				
People with disabilities				

METHODOLOGY

11.5.9 Employee health and wellness

This is a crucial component of the analysis. It involves analysing the general status of the health and wellness of the workforce. The Occupational Health and Safety Act (OHSA) 85 of 1993 provides the legislative framework for this analysis.

Specific issues relating to proactive and holistic health and safety management in the department are likely to include the following:²²

- Ergonomics and general workplace design
- Health screening and safety auditing
- Education
- Fitness programmes and recreation facilities
- Work and family life interactions
- Nutrition programmes (e.g. low-fat diets)
- Smoking policies
- Preparation for emergencies
- Occupational mental health
- Stress and work
- Substance abuse
- Employee assistance
- Occupational diseases
- Workplace bullying and sexual harassment
- HIV and AIDS in the workplace

The general level of employee wellness has a direct impact on both the capacity and sustainability of the workforce. Key employee wellness issues should be noted and addressed.

With all employee wellness issues, it is important that relevant stakeholders and experts are consulted, especially when calculating the projected impact on the workforce. In particular, the impact of HIV and AIDS is well documented and there are many resources available to the department. The Department of Health, the Department of Education and the Department of Public Service and Administration have all conducted studies and have issued a range of policy guidelines.



Refer to the checklist in [Appendix H8](#) for further information

Use table below to capture important information relating to employee wellness issues.

Table 43: Employment equity review

EMPLOYEE WELLNESS ISSUE	DESCRIBE POTENTIAL IMPACT ON THE DEPARTMENT, HR AND LINE, CLIENTS/PARTNERS	STATUS (PRIORITY ISSUE) YES/NO	ACTION STEPS REQUIRED

²² Erasmus, B (2005). **South African Human Resource Management for the Public Sector**. pp 339-420

METHODOLOGY

Table 44: Employee wellness review

SALARY LEVELS	TOTAL DAYS	NUMBER OF EMPLOYEES USING SICK LEAVE	% OF EMPLOYEES USING SICK LEAVE	AVERAGE DAYS PER EMPLOYEE	TOTAL ESTIMATED COST (R000)
(13-16)					
(9-12)					
(6-8)					
(3-5)					
(1-2)					
TOTAL					

Table 45: Analysis of staff patterns: incapacity leave

SALARY LEVELS	TOTAL DAYS	NUMBER OF EMPLOYEES USING PILIR	% OF EMPLOYEES USING PILIR	AVERAGE DAYS PER EMPLOYEE	TOTAL ESTIMATED COST (R000)
(13-16)					
(9-12)					
(6-8)					
(3-5)					
(1-2)					
TOTAL					

11.5.10 Values and ethical behaviour

This section relates to the ethics and values that are part of the organisational culture of the department. This area impacts on general behaviour in the workplace and on the overall commitment to service delivery. The entrenchment of Batho Pele principles within the department is the service delivery framework that all employees are expected to adhere to and uphold. Values and ethical behaviour are an important dimension of the workforce analysis and are linked to creating a supportive environment for performance – where ethical service-oriented behaviour is rewarded. In addition, the stress induced in employees through the unethical behaviour of others must be appropriately managed throughout the department. Failure to address such issues, over the short term, has a long-term negative impact on the quality of the HR supply and the capacity of the department to deliver against its strategic objectives overall.



Refer to the checklist in [Appendix H9](#) for further information

11.5.11 Completed workforce analysis



Refer to [Appendix H10](#) and [Appendix H123](#) for further information.

As illustrated in Figure 2 at the end of the workforce analysis, the HR planner will have a clear picture of the HR supply available to the department (as well as HR demand discussed earlier). In addition, it will be possible to assess the HR utilisation of the department. All three activities will contribute to the development of the action-oriented implementation plan discussed in Section 6.6 of this Guideline.

METHODOLOGY

11.6 Identification of human resource gaps between supply and demand

This step is based on a thorough understanding of the national and departmental objectives and how these translate into HR imperatives. An HR gap analysis allows for the identification of HR issues facing the department where capacity for delivery is either lacking or under-resourced. The gap analysis is an opportunity to engage stakeholders and experts in these specific areas in the HR planning process.

For example, when dealing with organisational structure issues, organisational design experts should be consulted to assist with understanding functional areas as well as ways in which the number of people required for particular functions can be projected. In addition, issues around the allocation of resources should be discussed with the relevant management groups.

At the end you will be able to complete Section 5 of the HR Plan Template.

The following are possible gaps in human resources:

Qualitative gaps:

- Recruitment and selection policies and procedures/processes
- Performance management system
- Talent management (including attraction and retention)
- Skills development initiatives
- Employee wellness
- Competency gaps per occupation
- Employment equity

Quantitative gaps:

- Employment equity profiles

Use table below to capture important information relating to gaps between supply and demand.

Table 46: Gap analysis

GAP	POTENTIAL IMPACT	STATUS	ACTION STEPS REQUIRED

- Skills gaps as defined in the workplace skills plan
- Organisational structure (including uneven allocation of resources)

Use table below to capture information relating to gaps between supply and demand.

Gaps in supply and demand

At the end of the gap analysis, two important questions need to be asked and answered:²³

1. What are the gaps in numbers, competencies and employment equity targets that need to be filled?
2. To what extent does the existing human resource capacity match future requirements?

The gaps should then be summarised and categorised as follows:²⁴

- The competency levels of the employees per occupational category as defined in terms of the Occupational Classification System.
- The number of employees needed at present and in the future, as well as where they will be utilised.
- Areas of under-representation in the various occupational categories and salary levels within the department in terms of race, gender and people with disabilities.
- The health profile of the department.



Refer to *Appendix I* for further information on completing the gap analysis

²³ Erasmus, B (2005). *South African Human Resource Management for the Public Sector*. pp 151

²⁴ *ibid*

METHODOLOGY

11.7 Forecast HR supply

The completed workforce analysis process will enable HR planners to forecast HR supply clearly and to understand the challenges involved in increasing the potential pool of human resources. Use the checklists in Appendix H in order to complete the HR supply analysis process.

11.8 HR utilisation

Effective HR utilisation activities will help the department anticipate and manage surpluses and shortages of staff. These activities include: performance appraisals, productivity, motivation and incentive schemes, job analysis and job evaluation. However, much of this discussion would have taken place during the workforce analysis (Section 4.2). Part of the HR utilisation process will involve looking at the extent to which people are fully utilised within their core area of competence. The consequence of this analysis is that competency deficits within the department could be filled by existing incumbents who have the competencies but who are currently employed in their non-core areas.

11.9 Identification of priority departmental human resource issues



Refer to [Appendix J](#) for information on the identification of priority HR issues.

Following the gap identification, priority HR issues facing the department should be identified. In addition, strategies to achieve the desired outcomes must also be considered in this section. Use Table 16 as well as the table in Appendix J in order to complete this process.

At the end of this part of the analysis you will be able to complete Section 6 of the HR Plan Template.

Use table below to capture information relating to identified HRP priority issues.

Table 47: HRP priority review

HRP PRIORITY	OUTCOME	ACTION STEPS REQUIRED

11.10 Budget analysis

The HR planning process, including the availability of funds in order for departmental objectives to be achieved, must take place with due consideration of budget allocations and after appropriate consultation with relevant stakeholders. All HR requirements stipulated in the plan will have to be funded and based on realistic budgetary information and associated constraints.



Refer to [Appendix H6](#) to further your departmental analysis

Establish funding requirements

This is an essential step in completing the implementation planning process. It is important to involve the Chief Financial Officer and/or his or her representative in the entire process in order to ensure that the Finance Department is aware of the required funding and can budget appropriately.

At the end of this analysis you will be able to complete Section 7 of the HR Plan Template.

11.11 Development of an implementation/action plan

A summary of the gap analysis, identification of HR issues and the risk analysis should be included in the final HR plan. It is therefore proposed that all departments complete an action-oriented implementation plan for submission to the dpsa.

To enhance support for the implementation of the HR plan, it is recommended that the department embark on an appropriate consultation process and design a **communication plan** that is inclusive of **all** the relevant stakeholders. This would also facilitate improved monitoring and evaluation against the agreed plan.



The approved format is detailed in [Appendix K](#)

METHODOLOGY

In drawing up the action plan the following questions should be considered:²⁵

- What are the key actions needed to ensure a better match between HR requirements and available employees?
- How can we ensure that the department has highly skilled employees in future in order to address changing needs?
- How can we attract employees with the right competencies to critical areas in the department?
- How can the oversupply of employees in certain areas of the department be redirected to address other areas with shortages?
- If training the oversupply is not an option, how can these employees be phased out of the department?
- How can under-representation of designated groups be addressed in the department?
- How can the productivity of current employees be improved?
- What can be done to limit the impact of HIV, AIDS and other life-threatening diseases on the health and wellness of employees and overall service delivery?

11.12 Monitoring, evaluation and review

Monitoring, evaluating and reporting on the efficacy of HR plans is essential for ensuring that current information is used for decision-making and problem-solving relating to HR planning challenges. **The evaluation of progress is crucial for continuous improvement within the department, and the HR planning function more specifically.**

Key issues for consideration include:

- Performance-related data assist with determining future priorities and informing the effective allocation of resources.
- The HR plan must be viewed as a **dynamic document** subject to review and **NOT** something completed annually and then put away until the next year.
- **The consequence of not regularly reviewing the HR plan is an increased risk of failing to respond to both anticipated and unanticipated changes in departmental circumstances.**

The output of the monitoring and evaluation component of the HR planning process must be a comprehensive report that includes the following factors:²⁶

- Actual staffing levels versus established staffing requirements.
- Productivity levels against established goals.
- Programmes implemented against action plans.
- Programme results against expected outcomes.
- Actual labour and programme costs versus budgeted costs.
- Ratio of programme benefits to programme costs.



Refer to *Appendix L* for further information

The “Monitoring and evaluation” column in the implementation plan should be utilised within the HR plan.

Adjustment in HR plan may require:

1. adjustment to HR objectives and priorities,
2. timeframes for implementation of the action plan,
3. adjustment of content of action items, and
4. adjustment of the budget.

At the end of this analysis you will be able to complete Section 9 of the HR Plan Template and report on implementation.

²⁵ Erasmus, B (2005). *South African Human Resource Management for the Public Sector*. pp 152

²⁶ Erasmus, B (2005). *South African Human Resource Management for the Public Sector*. pp 153

CONCLUSION

12. CONCLUSION

Please note that the final date for submission of all HR plans to the Chief Directorate: HR Planning is annually on 30 June and quarterly thereafter.

Within six months of this date, departments will be required to submit progress reports on the implementation of the HR plans. The template provided contains a column on monitoring and evaluation that must be updated. The department is required to submit annual reports at the end of the implementation cycle. The updated reports must be signed off by the Head of Department and Executing Authority.

For more information on the HR planning process, please contact:

Chief Directorate: Human Resources Planning
Department of Public Service and Administration
Batho Pele House
Private Bag X916
Pretoria
0001

Tel: +27(0)12 336 1271/1328/1457
Fax: 086 618 8643
Email: hrp@dpsa.gov.za

APPENDICES (CHECKLISTS)

A. EXTRACT OF PUBLIC SERVICE REGULATIONS ON HR PLANNING

- D Human Resource Planning
- D.1 An executing authority shall-
- (a) assess the human resources necessary to perform her or his department's functions, with particular reference to-
 - (i) the number of employees required;
 - (ii) the competencies which those employees must possess; and
 - (iii) the capacities (whether permanent or temporary) in which those employees shall be appointed;
 - (b) assess existing human resources by race, gender and disability as well as by occupational category, organisational component and grade with reference to their-
 - (i) competencies;
 - (ii) training needs; and
 - (iii) employment capacities;
 - (c) plan within the available budgeted funds, including funds for the remaining period of the relevant medium-term expenditure framework, for the recruitment, retention, deployment and development of human resources according to the department's requirements determined in terms of regulation III D.1(a), which plan must, as a minimum, include-
 - (i) realistic goals and measurable targets for achieving representativeness, taking into account regulation III D.2; and
 - (ii) targets for the training of employees per occupational category and of specific employees, with specific plans to meet the training needs of persons historically disadvantaged; and
 - (d) address the position of employees affected by the abolition of unnecessary posts, and shall retrench employees only in accordance with the Labour Relations Act and collective agreements as the last resort.
- D.2 An executing authority shall develop and implement an affirmative action programme, which shall contain, as a minimum, the following:
- (a) A policy statement that sets out the department's commitment to affirmative action, and how that policy will be implemented;
 - (b) Numeric and time-bound targets for achieving representativeness;
 - (c) Annual statistics on the appointment, training and promotion within each grade of each occupational category, of persons historically disadvantaged; and
 - (d) A plan for redressing numeric under-representativeness and supporting the advancement of persons historically disadvantaged;
- D.3 An executing authority shall make the outcome of planning referred to in regulation III D.1 and of the affirmative action programme referred to in regulation III D.2 known within her or his department.

APPENDICES (CHECKLISTS)

B. SELECTED LIST OF APPROPRIATE LEGISLATION AND REGULATIONS

The list and links below point directly to the relevant website.

For access to additional South African legislation, regulations, policies etc., refer to the government website: <http://www.info.gov.za/documents/index.htm>

Constitution of the Republic of South Africa 1996

- **Public Service Act**
Public Service Act of 1994
Schedule 1 - National Departments & Provincial Administrations
Schedule 2 - Provincial Departments
Schedule 3 - Organisational Components
- **Public Service Regulations**
Public Service Regulations - Government Notice, w.e.f. 1 July 2006
Public Service Regulations, 2001, as amended 30 December 2005
Public Service Regulations, 2001, as amended 16 July 2004
These do not contain actual amendments, but only the commencement of two regulations on a future date.
Public Service Regulations, effective from 1 July 2004
Public Service Regulations, amended 29 August 2003
Public Service Regulations, amended 1 January 2003
Public Service Regulations, amended July 2002
Public Service Regulations, amended 8 January 2002
- **Public Service Co-ordinating Bargaining Council (PSCBC) Resolutions**
The full details of all resolutions can be obtained from the PSCBC Website – www.pscbc.org.za
- **Related Acts and Policies**
Intergovernmental Relations Framework Act 13 of 2005
National Minimum Information Requirements
National Archives of South Africa Act, 1996 (No. 43 of 1996)
Public Service Commission Act (Act 46 of 1997)
HRD Strategy for the Public Service
Public Service Training and Education White Paper
A National Human Resources Plan for Health to provide skilled human resources for healthcare adequate to take care of all South Africans - Final Draft
Prevention and Combating of Corrupt Activities Act, 2004 (Act 12 of 2004)
Promotion of Access to Information Act, 2000 (Act 2 of 2000)

- Promotion of Administrative Justice Act, 2000 (Act 3 of 2000)
- Promotion of Equality and Prevention of Unfair Discrimination Act, 2000 (Act 4 of 2000)
- Basic Conditions of Employment Act (Act 75 of 1997)
- Compensation for Occupational Injuries and Diseases Act
- Employment Equity Act (Act 55 of 1998)
- Labour Relations Act (Act 66 of 1995)
- Occupational Health and Safety Act (Act 181 of 1993)
- Skills Development Act (Act 97 of 1998)
- Skills Development Levies Act (Act 9 of 1999)
- Unemployment Insurance Act (Act 63 of 2001)
- Unemployment Insurance Contributions Act (Act 4 of 2002)
- Interpretation Act, (Act 33 of 1957 - PDF)

Ministerial handbook

- **Treasury Legislation/Regulations**

Public Finance Management Act (Act 1 of 1999 as amended by Act 29 of 1999)

Treasury Regulations 2005 Gazette No. 27388 dated 15 March 2005
- **Department of Labour – Basic Guides**

The Basic Guides give a plain English summary of key points within the legislation. While the guides are not a substitute for the Acts, Amendments and Sectoral Determinations on which they are based, they do explain the basics of our labour laws.

Please note that the Public Service Act, Regulations and resolutions of the Public Service Co-ordinating Bargaining Council also govern labour relations within the Public Service.

Department of Labour Codes of Good Practice - issued by the Minister

- **Arrangement of Working Time** – Information and guidelines on shift work and night work and their impact on workers' health and safety
- **Disability in the workplace** – This code is a guide for employers and workers on key aspects of promoting equal opportunities and fair treatment for people with disabilities.

APPENDICES (CHECKLISTS)

- **Employment Equity Plans** – The objective of this code is to provide guidelines of good practice, in terms of the requirements of the Employment Equity Act.
- **Handling Sexual Harassment Cases** – This code aims to assist in the elimination of sexual harassment in the workplace. It provides procedures to deal with the problem and prevent it from recurring.
- **Integration of Employment Equity into Human Resources Policies** – This code identifies areas of human resources that are key to employment equity which can be used to advance equity objectives.
- **Key Aspects of HIV/AIDS and Employment** – This code's objective is to provide guidelines for employers, workers and trade unions on how to manage HIV/AIDS within the workplace.
- **Key Aspects on the Employment of People with Disabilities** – A guide for employers and workers on promoting equal opportunities and fair treatment for people with disabilities.
- **National Code of Practice for the Evaluation of Training Providers for Lifting Machine Operators** – This Code of Good Practice is to provide clarity and direction to all stakeholders directly or indirectly related to the accreditation and provision of training to lifting machine and equipment operators.
- **Pregnancy** – This code provides for the protection of workers during pregnancy and after the birth of a child.

APPENDICES (CHECKLISTS)

C. PRO FORMA HR PLANNING TEMPLATE

The pro forma HR Planning Template

The pro forma HR Planning Template can be found on the **dpsa** website (www.dpsa.gov.za).

Executive Summary

Brief description of observation

In this space, provide high-level observations with regard to:

- organisational structure,
- turnover,
- compensation,
- MTEF funding,
- occupational demographics worth noting,
- staff stability,
- qualifications, etc.

Workforce strategic issues and challenges

- Describe anticipated changes in strategies and goals
- Indicate implications
- Key challenges identified

Planned HR strategies

Briefly describe the planned strategies to address the aspects stated above.

Summary of Action Items

Strategy 1

Action 1:

Action 2:

Action 3:

Strategy 2

Action 1:

Action 2:

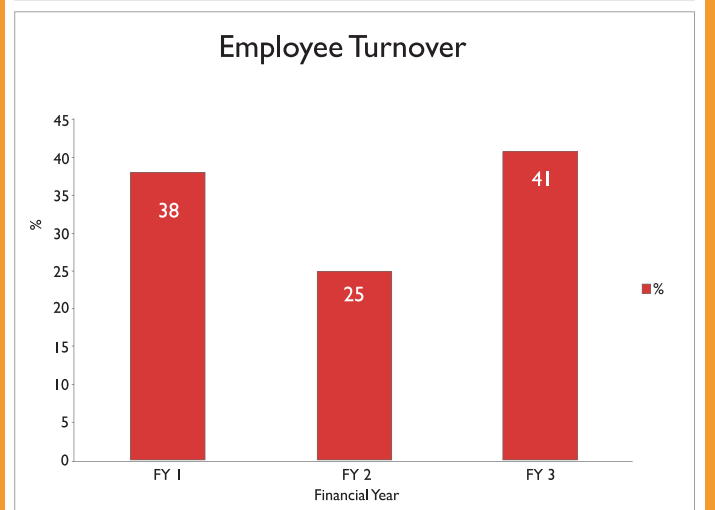
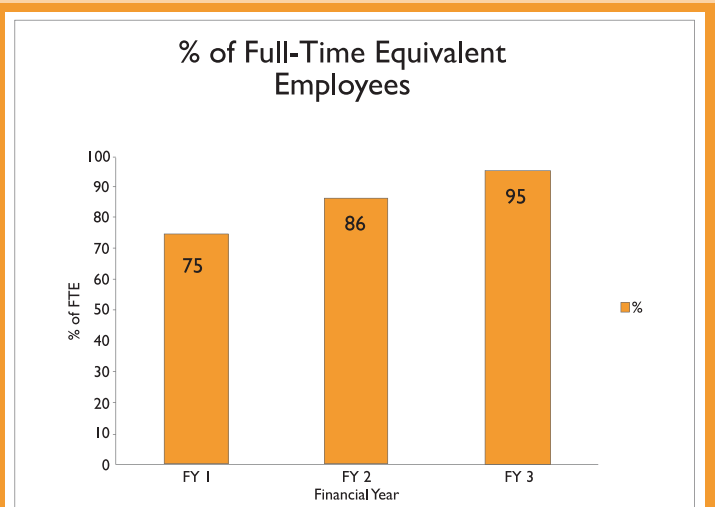
Action 3:

Summary data fact sheet

The departments should analyse its workforce data to identify any trends affecting recruitment, development or retention of employees in the target areas. Analysing the workforce data for trends will help the department project future workforce needs and identify opportunities for action items.

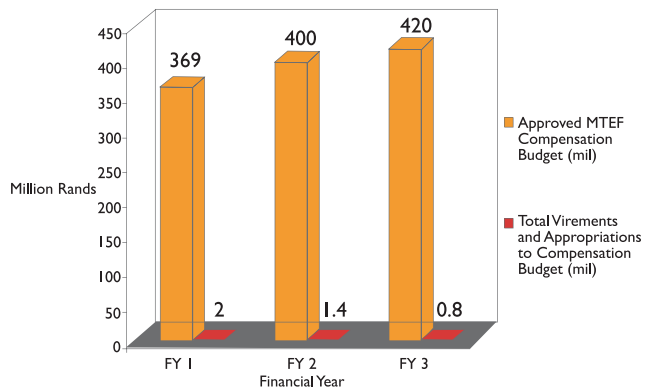
Human resource information management - This requires information to be managed in order to ensure that all human resource information is available so that HR planning can take place.

DATA FACT SHEET EXEMPLAR

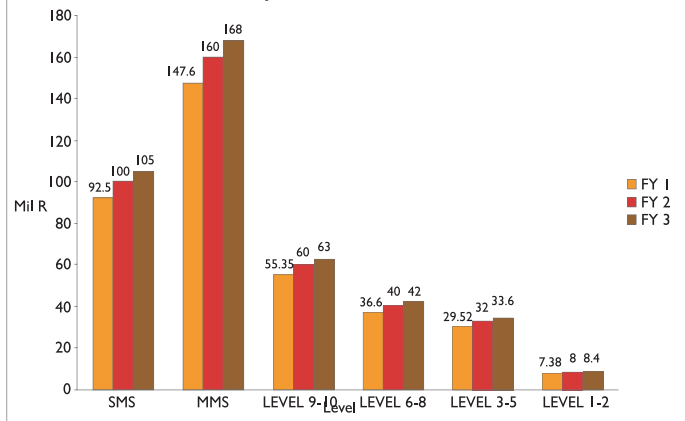


APPENDICES (CHECKLISTS)

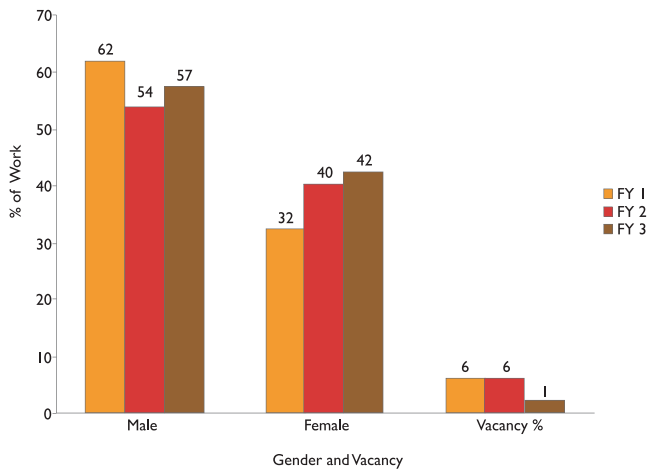
Compensation



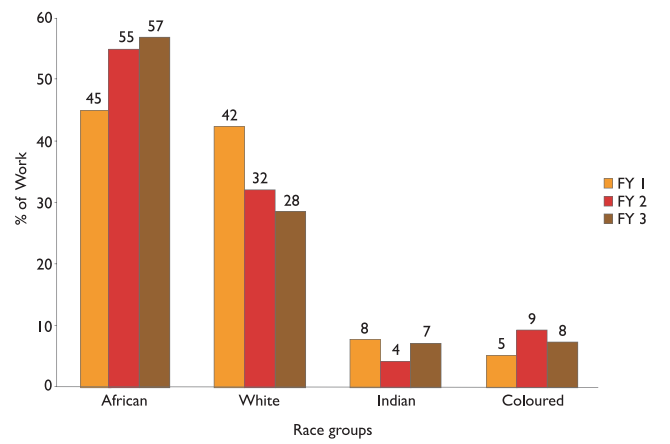
Compensation Trends



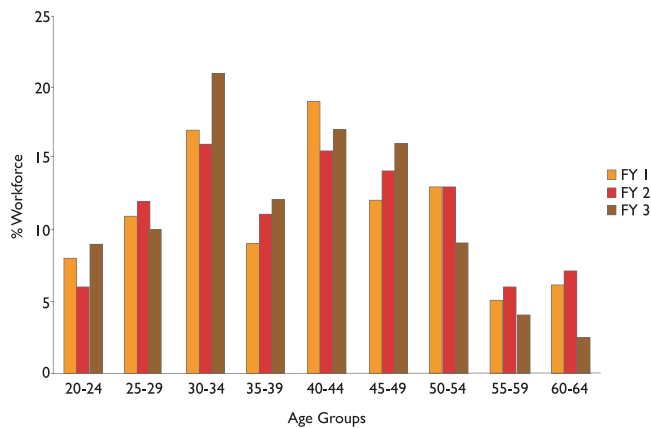
Gender



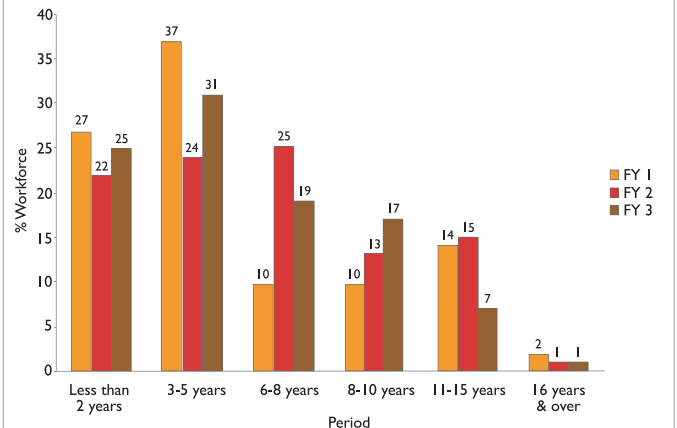
Race Trends



Age Trends

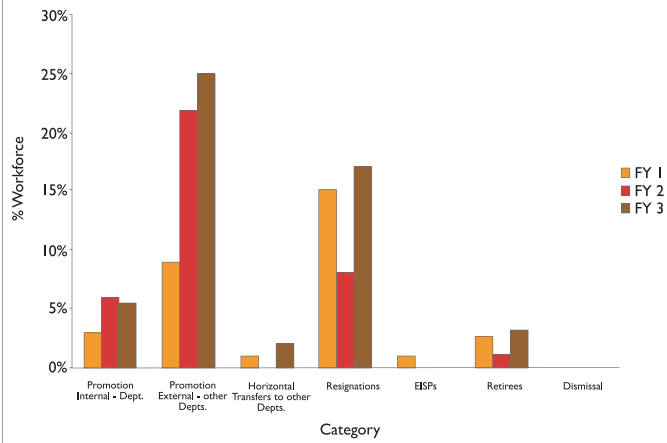


Staff Stability



APPENDICES (CHECKLISTS)

Employment and Separation Trends



Other tables and graphs

APPENDICES (CHECKLISTS)

D CALENDAR AND MEDIUM-TERM STRATEGIC FRAMEWORK

Example of a draft budget / HR planning schedule (based on a real cycle)

19–20 January 2005	Cabinet Lekgotla
3 February 2005	Budget Council (Pretoria)
8 April 2005	PCC Meeting
12 May 2005	TCF Meeting Agenda: <input type="checkbox"/> Preliminary Provincial Budget Outcome for 2004/05
July 2005	Cabinet Lekgotla
18 July 2005	Budget Council
9 November 2005	Cabinet to consider: <input type="checkbox"/> Revised Memorandum on Fiscal and Macroeconomic Framework <input type="checkbox"/> Division of Revenue (incl. Conditional Grants)
2006	
January 2006	Cabinet Lekgotla considers fiscal framework and main budget allocation
9 February 2006	Budget Council (Pretoria)
February 2006	Budget Day: 2006 budget tabled before parliament
February–March 2006	Provincial 2006 budgets tabled before provincial legislatures
February 2006	Final provincial strategic plans for 2006/07 submitted and checked for quality and alignment with budget numbers

APPENDICES (CHECKLISTS)

E. READINESS GUIDE (USE IN CONJUNCTION WITH THE SELF-EVALUATION)

Use this section of the guide to ensure that the department, including line managers is fully aware of the HR planning process and is ready at all levels to provide input and guidance when requested by the HR planning team.

Understand the need for HR planning

- Develop the support of top leadership.
- Obtain advisory support from a core management team.
- Assess what you have already achieved.
- Find out what other departments are doing.
- Establish a cross-functional team that will be committed throughout the HR planning process.
- Develop the HR Plan.

Obtain top management acceptance of and commitment to HR planning

- Secure top-level support.
- Take one small step at a time.
- Get management involved.
- Establish accountability for the HR planning process through the appropriate use of senior management and line management performance agreements (HR planning should be included in the KPIs for these incumbents).

- Use appropriate HR planning tools.
- Keep the HR planning process and the HR Plan fresh.

HR planning-related issues on which line managers are required to give feedback

Typically, line managers should be able to provide HR planners with information regarding the following²⁷:

1. Whether there are enough and appropriate jobs to ensure the output.
2. Whether there are enough and appropriate job categories.
3. Whether incumbents are performing in accordance with the accepted standards.
4. Whether there is high labour turnover.
5. Whether increased or different product output/service delivery drivers will necessitate more or different jobs.
6. Whether a change in product technology/service delivery drivers will change the job content as well as a change in training or recruitment requirements.

EI SELF-EVALUATION CHECKLIST: READINESS FOR HUMAN RESOURCE PLANNING

NO	INDICATOR	RESPONSE	TICK (✓)	COMMENT
I.	Determine if the department has established a human resource planning team	The department has not yet established one		
		The department has a team in place		
		The team consists of only one or two people		
		The team consists of many people who have responsibility for human resource planning		
		The department has an established team functioning for more than a year		

²⁷ Erasmus, B et al (2005). South African Human Resource Management for the Public Sector. pp 130.

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NO	INDICATOR	RESPONSE	TICK (✓)	COMMENT
2.	Ascertain the skills level of the team	A team still has to be formed		
		I am learning as I go along and teaching myself		
		The only training I have had is during my formal education		
		I have attached training in human resource planning since being involved in this process		
		The team is just beginning to learn		
		The team is experienced		

NO	INDICATOR	RESPONSE	TICK (✓)	COMMENT
3.	Ascertain the level of involvement and support of:			
3.1	Executive management	They have not engaged with the process		
		I have not engaged with them		
		Participating but do not really seeing the value		
		Supportive but not participating		
		Fully participative and participating		
		Driving human resource planning and have delegated actions		
		Driving and participating		

NO	INDICATOR	RESPONSE	TICK (✓)	COMMENT
3.2	Senior and middle managers	They have not engaged with the process		
		I have not engaged with them		
		Participating but do not really see the value		
		Supportive but not participating		
		Fully participative and participating		
		Driving human resource planning and have delegated actions		
		Driving and participating		

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NO	INDICATOR	RESPONSE	TICK (✓)	COMMENT
3.3	Human resource team	They have not engaged with the process		
		I have not engaged with them		
		Participating but do not really see the value		
		Supportive but not participating		
		Fully participative and participating		
		Driving human resource planning and have delegated actions		
		Driving and participating		

NO	INDICATOR	RESPONSE	TICK (✓)	COMMENT
4.	The department is able to translate its strategic plan into human resource requirements	We do not have a strategic plan		
		We have a strategic plan		
		I do not have access to it		
		I do not know how to translate it		
		I can translate some aspects of it		
		We do but it is ad hoc and informal		
		We do and it is a formal process		

NO	INDICATOR	RESPONSE	TICK (✓)	COMMENT
5.	The department's human resource planning process is integrated into its strategic planning process	We do not have an integrated process		
		We do human resource planning after the strategic planning process		
		We do human resource planning before strategic planning		
		We plan to integrate		
		We have fully integrated them		
		We do but it is ad hoc and informal		
		We do and it is a formal process		

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NO	INDICATOR	RESPONSE	TICK (✓)	COMMENT
6.	Indicate how well the:			
6.1	Department can provide and access human resource data	Poor		
		No plans to do so		
		Not started yet		
		Average		
		Above average		
		Excellent		

NO	INDICATOR	RESPONSE	TICK (✓)	COMMENT
6.2	Team can analyse workforce demographics	Poor		
		No plans to do so		
		Not started yet		
		Average		
		Above average		
		Excellent		

NO	INDICATOR	RESPONSE	TICK (✓)	COMMENT
6.3	Team can do environmental scanning and filtering	Poor		
		No plans to do so		
		Not started yet		
		Average		
		Above average		
		Excellent		

NO	INDICATOR	RESPONSE	TICK (✓)	COMMENT
6.4	Team can interpret business plans	Poor		
		No plans to do so		
		Not started yet		
		Average		
		Above average		
		Excellent		

APPENDICES (CHECKLISTS)

NO	INDICATOR	RESPONSE	TICK (✓)	COMMENT
6.5	Team can do forecasting	Poor		
		No plans to do so		
		Not started yet		
		Average		
		Above average		
		Excellent		

NO	INDICATOR	RESPONSE	TICK (✓)	COMMENT
6.6	Team can do analysis of human resource utilisation	Poor		
		No plans to do so		
		Not started yet		
		Average		
		Above average		
		Excellent		

NO	INDICATOR	RESPONSE	TICK (✓)	COMMENT
6.7	Team can develop and implement the human resource plan	Poor		
		No plans to do so		
		Not started yet		
		Average		
		Above average		
		Excellent		

NO	INDICATOR	RESPONSE	TICK (✓)	COMMENT
6.8	Team can monitor and evaluate the implemented human resource plan	Poor		
		No plans to do so		
		Not started yet		
		Average		
		Above average		
		Excellent		

APPENDICES (CHECKLISTS)

F. CHECKLIST: UNDERSTANDING THE STRATEGIC PLAN OF THE DEPARTMENT²⁸

A sound understanding of the department's priorities is critical for effective alignment and integration of HR planning with broader corporate plans. **Do not proceed unless you are sure that this has been completed.**

AREA	Y/N	COMMENTS
The Government's key priorities, as they relate to the department, are understood by all stakeholders in the HR planning process		
The strategic direction of the department is understood by all stakeholders in the HR planning process		
The vision, mission, objectives and values of the department are clearly understood		
The link between corporate and business planning and HR planning has been established and is clearly understood		
Departmental business partners, both within the public service and the private sector, have been identified		
All necessary strategic partnerships have been established in order to facilitate the strategic HR and business planning process (e.g. across the sector or with other organisations)		
Service delivery drivers for the department are fully understood and integrated with the HR planning process		

Relevant websites:

www.gov.za – See government programme of action

²⁸ www.hrma-agrh.ca – information on this site was used in the development of the checklists contained in this appendix

APPENDICES (CHECKLISTS)

G. CHECKLIST: CONDUCTING ENVIRONMENTAL SCAN

This involves scanning both the external and internal environment for factors likely to impact on HR planning within the department.

G.1 EXTERNAL ENVIRONMENTAL FACTORS

EXTERNAL ENVIRONMENTAL FACTORS	Y/N	FINDINGS
The environment is understood in terms of broad international trends and drivers (e.g. bilateral and multilateral partnerships, global labour market trends, global practices, changes in technology, etc.)		
The environment is understood in terms of national trends and drivers (e.g. political direction, legislation, economic conditions, government programmes of action, labour market trends, relevant policies and procedures, impact of HIV and AIDS, migratory patterns, cultural issues, demographics)		
The environment is understood in terms of provincial trends and drivers (e.g. political direction, provincial labour market trends, migratory patterns, donor relationships, tertiary institutions, etc.)		
The relevant aspects of the current external environment are assessed in terms of the likely impact on the department overall – including degree of uncertainty, volatility, magnitude of change and complexity		
Changes in the external environment into the future are considered in relation to the potential impact on the department		
The trends/forces affecting departmental partners and stakeholders are identified and understood		

G.2 PESTEL ANALYSIS TABLE²⁹

PESTEL FACTORS	KEY TRENDS	WHAT THIS MEANS FOR THE DEPARTMENT	POSSIBLE COURSES OF ACTION
Political			
Economic			
Social			
Technological			
Environmental			
Legislative			

APPENDICES (CHECKLISTS)

Additional factors/resources:

Consult sources such as the ones listed below for environmental scan information.

- National research reports (e.g. critical and scarce skills in South Africa)
- International Labour Organisation reports
- Statistics South Africa
- Relevant Human Science Research Council reports
- Provincial reports
- Tertiary institution reports
- Professional body reports
- Newspaper articles
- Journal articles
- Conference proceedings, papers and publications
- NGOs
- Stakeholder consultation
- International reports and trends

G.3 INTERNAL ENVIRONMENTAL FACTORS

INTERNAL ENVIRONMENTAL FACTORS	Y/N	FINDINGS
Departmental policies and procedures are fully understood		
Relevant legislation and the impact on the departmental environment are fully understood (e.g. Employment Equity Act, Skills Development Act)		
Employee movement in and out of the department is fully understood (e.g. resignations, retirement, maternity leave, secondments)		
The career progression of employees throughout the department is analysed		
The internal reward system and its impact on the department are fully understood		
The job evaluation system(s) are fully understood in relation to the impact on the department		
The general wellness of employees is analysed and its impact on the department is fully understood		
The general mood and morale of the department is assessed and its impact on the department is fully understood		
The integrity and quality of all departmental data is analysed and the implications for the department is understood		
The impact of labour relations (including all relevant policies) on the department is assessed and understood		

APPENDICES (CHECKLISTS)

H. CHECKLIST: WORKFORCE ANALYSIS

H.I: ORGANISATIONAL STRUCTURE

An organisational structure that fully provides for the operational needs of a department greatly impacts on the effective use of resources and overall service delivery. It is considered key to strategic HR and strategic and business planning.

Additional factors/resources:

The Personnel Practitioner's Guide to the CORE and the Occupational Classification System, including Appendix B

AREA	Y/N	COMMENTS
CORE is fully understood and appropriately used in the analysis of the structure		
The Public Service Occupational Classification System is fully understood and appropriately used in the analysis of the structure		
The current organisational structure has been approved		
The current organisational structure reflects current service delivery models and is aligned with the current strategy for the department		
All posts on the current organisational structure are funded		
The current organisational structure helps support anticipated changes in programme delivery		
Work for each functional unit is clearly defined		
Job categories are broken down per discipline/department or division		
The number of positions per job category/occupational family are clearly identified		
The lines of authority and accountability are clearly indicated so as to avoid overlap and duplication		
Each manager has a reasonable and manageable span of control within the department		
Resource allocation and the organisational design are optimal for efficient service delivery		
The allocation of work between functions and positions is effective and balanced		
All existing organisational charts and job descriptions are current and up to date		
Support services provide efficient and appropriate support to the core business		
The organisational structure promotes clear and well-defined career paths for employees, in terms of both hierarchical movement and specialist development (dual career ladder)		

Relevant website:

www.dpsa.gov.za

APPENDICES (CHECKLISTS)

H.2: COMPETENCIES

Competencies are defined in the Public Service Regulations as the blend of knowledge, skills, behaviour and aptitude that a person can apply in the work environment, which indicate a person's ability to meet the requirements of a specific post. The competencies required for each position are defined and understood in relation to the department meeting its strategic objectives.

COMPETENCY CHECKLISTS

Additional factors/resources:

- Current Skills Profile and Future Skills Needs for the Public Sector, 1 December 2004
- Department of Labour – State of Skills in South Africa, 2003
- Draft Interim Framework for SETAs Identifying and Monitoring Scarce Skills, 28 June 2005
- Human Resources Development Strategy for the Public Service
- Report on the Development of Interventions to Improve the Human Resource Management Function in the Public Service, 29 April 2005
- State of the Public Service Report, 2004

AREA	Y/N	COMMENTS
The CORE and existing competency frameworks are fully understood and appropriately used in the competency analysis		
The Public Service Occupational Classification System is fully understood and appropriately used in the competency analysis		
There is a broad understanding of the competencies required per occupational classification to achieve departmental objectives now and in the future		
There are competency profiles/job descriptions for each job within the department		
Appropriate competency analysis tools are used to assess the levels of competence, per occupational classification, in the department (e.g. appropriately designed self-assessment tools, developmental assessment centres, performance reviews, departmental performance reports)		
There is a plan in place to address identified competency gaps, especially in scarce and critical skills areas per occupational category within the department		
Performance management and personal development plans are used to maximum effectiveness in support of competency development		
There is a strong and effective working relationship with HRD in order to ensure individual development plans address the identified competency gaps		
Specialist and generalist jobs are identified during the analysis process		

Relevant website:

www.labour.gov.za

APPENDICES (CHECKLISTS)

H.3: TRAINING AND DEVELOPMENT

Training and development information is essential for an effective HR planning environment characterised by rapid change, high levels of skills shortages, historical disparities in access to further development and increasing global and local competition for talent. Information for this part of the analysis can be obtained from both skills audit and workplace skills information.

Additional factors/resources:

- Current Skills Profile and Future Skills Needs for the Public Sector 1 December 2004
- Department of Labour – State of Skills in South Africa, 2003
- Draft Interim Framework for SETAs Identifying and Monitoring Scarce Skills, 28 June 2005

AREA	Y/N	COMMENTS
Training and development needs are defined in relation to the strategic and business objectives of the department		
The HRD strategy for the department is fully understood in relation to the HR planning process		
Revised training and development requirements are linked to changes in service delivery		
Current skills audit information is used as part of the gap identification process		
The current Workplace Skills Plan is used to help address skills gaps		
The key components of a continuous learning culture are identified		
Key components of a continuous learning culture are being implemented in the department		
Employees have up-to-date individual development plans that identify both current and future training needs, based on personal and departmental goals		
Individual development plans are regularly discussed during performance reviews		
The department's career development model/framework is used to manage talent in the department		
Achievement rates of individual development plans are regularly monitored and reviewed		
Career goals of all employees are defined and supported		
Sufficient budget is allocated to meet employee training and development needs, as well as career development goals and departmental skills needs		
The impact of training and development initiatives is regularly monitored and assessed within the HRD function		
Training and development opportunities support the development of both scarce occupations and critical skills within the department		
The departmental bursary system supports the development of required skills for both current employees and external candidates		
Specialist and generalist jobs are identified		
A summary of all the training and development initiatives as well as institutions required for the development of competencies are detailed		

APPENDICES (CHECKLISTS)

- Human Resources Development Strategy for the Public Service
- Report on the Development of Interventions to Improve the Human Resource Management Function in the Public Service, 29 April 2005
- Skills Development Act 97 of 1998
- State of the Public Service Report, 2004

H.4: EMPLOYMENT TYPE AND RESOURCING

An understanding of employment type distribution is essential for understanding the stability and sustainability of the workforce, as well as for effective HR planning decision-making.

AREA	Y/N	COMMENTS
The occupational categories in the department are clearly understood		www.dpsa.gov.za
The demographics and employment characteristics of each category are fully analysed. These include: <ul style="list-style-type: none"> □ Employment equity designated groups □ Age profile □ Average age of retirement □ Location and years of service □ Leave usage □ Absenteeism □ Use of EAPs 	See Statistics South Africa's website www.statssa.gov.za	
The stability and sustainability of the workforce is regularly assessed		
The split between permanent, contract and temporary employees is well defined and understood		
All short-term contracts and assignments are identified and clearly linked to programmes		
The process of converting temporary and contract employees to permanent employees is fully explored based on business objectives and drivers		
The clustering of particular employment types in specific occupational groups is highlighted and documented		
The impact of staffing practices on employee morale is regularly assessed		
Current and projected vacancies are well defined within the department		
Recruitment processes for new hires are well defined		
The potential pool of candidates is clearly identified and easily accessed		
All appropriate skills development initiatives are used to support resourcing within the department		
The potential pool of candidates (both internal and external) is sufficient to fill existing vacancies		
There are definite resourcing strategies in place to meet current and future needs		

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H.5: STAFFING PATTERNS

Staffing statistics include staff turnover and retention/stability. In almost all circumstances these have either a positive or a negative effect on productivity within the department. In the case of staff turnover, smooth transitions should always be planned for. However, this is not always possible – skills may be difficult to replace, recruitment and selection processes too slow or the resignation of the employee very sudden. It may also have a negative impact on general flexibility within the organisation – e.g. cancelling scheduled training and development opportunities due to staff shortages, the time investment in developing new employees, therefore detracting from normal work responsibilities, and inability to respond to crisis situations due to staff shortages. An understanding of staff retention is important for, amongst others, understanding the effectiveness of talent management strategies within the department.

AREA	Y/N	COMMENTS
Staff turnover rates per occupational category are calculated and regularly tracked		
Information relating to staff turnover is regularly obtained, well documented and analysed		
The factors affecting staff turnover per occupational category are identified and reported on (e.g. during exit interviews)		
Occupational categories with high levels of staff turnover are clearly identified and appropriate interventions introduced		
Staff turnover information is regularly shared with all stakeholders in order to minimise its occurrences and effects (e.g. talent management strategy, remuneration policy, leadership styles, career development)		
The impact of the staff turnover rate on performance and capacity within the department is regularly monitored		
Excessive staff resignations due to employment in other departments are regularly monitored and understood. Inappropriate interdepartmental 'poaching practices' are addressed at the highest levels within the department and the DPSA		
The retention index is regularly calculated and understood		
Retention indices are used to provide input in changes to the talent management strategy of the Department		

APPENDICES (CHECKLISTS)

H.6: BUDGET ANALYSIS

The rationale for conducting a budget analysis is to ascertain the availability of financial resources to fund envisaged interventions.

The National Treasury issues annual guides to assist in the budgeting process. The checklist below is meant to complement the existing practices within the department

AREA	Y/N	COMMENTS
Is there a clear analysis of the total salary and wage costs of the department?		
Overheads associated with employment are clearly defined		
Overheads associated with employment are budgeted for		
Costs associated with recruitment, selection and placement are included in the budget		
Departmental costs associated with training and development are included in the budget		
Short-/medium-/long-term HR forecasts for the department have been completed to inform the budget		
Costs associated with implementation of the HR Plan are included in the budget		
Costs associated with innovative HR strategies/sub-strategies in the HR Plan are included in the budget		
Has the department budgeted to fill vacancies so as to improve service delivery?		
Have the consequential costs (e.g. laptop/desktop computer, office furniture) of filling vacancies been taken into account in the budget?		

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H.7:EMPLOYMENT EQUITY

The aim of employment equity is to address under-representation of designated groups. Where applicable, employment equity must be implemented to ensure that the department complies with legislation and nationally prescribed targets. However, employment equity plans and HR planning are not the same activity. HR planning is a far broader activity including many other aspects of the organisation. Employment equity plans report against specific criteria based on the demands of the relevant Act. However, employment equity plans must be consulted in this section.

- procedures that will be used to monitor and evaluate the implementation of the plan,
- ways to solve disputes about the plan, and
- people responsible for implementing the plan.

Relevant websites:

www.labour.gov.za

Additional resources:

- Annual employment equity reports

AREA	Y/N	COMMENTS
Designated groups are analysed per occupational category		
Representation of designated groups is spread across all occupations and is not clustered in any particular section of the organisation		
Representation of designated groups is not clustered in a particular employment type (e.g. temporary employees)		
Remuneration policies support the implementation of employment equity strategies		
The resignation of employees from designated groups is carefully monitored in terms of the overall targets of the Employment Equity Plan		
The promotion of employees from designated groups is carefully monitored in terms of the overall targets of the Employment Equity Plan		
Effective recruitment strategies are used to support the achievement of employment equity targets		
Employment equity considerations/requirements are incorporated in the HR Plan		
Ways to access candidates from designated groups (e.g. scholarships, learnerships) are considered and acted upon		

As per section 20 of the Employment Equity Act, employment equity plans must show the following:

- objectives for every year,
- affirmative action measures that will be implemented where black people, women and people with disabilities are not represented,
- numerical goals to reach this,
- timetables and strategies,
- timetables for annual objectives,
- the duration of the plan (not shorter than one year or longer than five years),

APPENDICES (CHECKLISTS)

H.8: EMPLOYEE HEALTH AND WELLNESS

Employee engagement and commitment are at the heart of both performance and retention within the department. Employee wellness can be defined as a holistic approach to creating a high performance organisation through establishing the right workplace conditions to generate high levels of employee engagement. The premise is that high levels of performance are a result of the actions of employees who are strongly committed to the achievement of organisational goals. This behaviour is supported by high levels of employee satisfaction as well as a work environment that is both healthy and respectful of employees.³¹

Relevant websites:

www.labour.gov.za
www.dpsa.gov.za
www.redribbon/za (HIV and AIDS)
www.ilo.org/aids

Additional factors/resources:

- Department of Labour – Code of Good Practice (incl. principles for managing the impact of HIV and AIDS in the workplace)
- Amended Public Service Regulations, 2001 provide for minimum standards in managing HIV and AIDS in the workplace (issued in Government Gazette No. 7389, dated 21 June 2002)

AREA	Y/N	COMMENTS
The following areas of employee wellness are considered in relation to the impact and potential impact on the department:		
Ergonomics and general workplace design		
Health screening and safety auditing		
Education		
Fitness programmes and recreation facilities		
Work and family life interactions		
Nutrition programmes (e.g. low fat diets)		
Smoking policies		
Preparation for emergencies		
Stress management		
Substance abuse		
Eating disorders		
Occupational diseases		
Workplace bullying and sexual harassment		
There are targets in place to monitor and review overall employee wellness		
Managers are held accountable for employee wellness		
Workloads within the department are well managed		
Unscheduled absenteeism and long-term disability rates and trends are monitored		
The impact of HIV and Aids is fully assessed and monitored within the department		
The impact of other serious conditions (e.g. heart disease, hypertension, diabetes) is fully assessed and monitored within the department		
The utilisation of the Employee Assistance and Wellness Programme is monitored		
Occupational health and safety incidents are tracked and regularly reviewed and reported on		
Occupational health and safety feedback is used to improve relevant policies and procedures within the department		

³¹ Supplement to the Integrated Human Resources and Business Planning Checklist

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H.9: VALUES AND ETHICAL BEHAVIOUR

The Batho Pele principles define the way in which service delivery to the people of South Africa is to take place. Within each department, attention must be paid to creating a work environment that promotes, encourages and rewards behaviour that is grounded in these values and ethical obligations. In addition, plans and initiatives must be in place to support employees when faced with ethical dilemmas in the workplace in order to instil appropriate behaviour and create a culture of ethical consideration.

AREA	Y/N	COMMENTS
All employees are aware of the existence of the Batho Pele principles		
All employees are aware that the Batho Pele principles should guide all their service delivery activities		
Appropriate tools to track performance against Batho Pele principles are in place		
All new employees receive appropriate induction regarding the Batho Pele principles		
Mechanisms are in place to assess the extent to which employees perceive that the department's values are practised and standards applied fairly to everyone		
Sound advisory and recourse mechanisms are in place to advise employees on ethical dilemmas		
Sound mechanisms are in place to manage 'whistle blowing' and other related matters		
Sound mechanisms are in place to protect 'whistle blowers'		
Employees are comfortable raising ethical dilemmas and making disclosures within the department		
Employees are aware of existing mechanisms for accessing support on ethical dilemmas		
Measures are in place to assess staff awareness of and being comfortable with existing mechanisms		
Initiatives to promote Batho Pele principles are constantly implemented and monitored		
The employees fully understand how the Batho Pele principles drive their service delivery within the department		
Managers are responsible and accountable for inculcating Batho Pele principles in their team		
A plan exists that measures actual results relating to ethics and values (incl. Batho Pele) and accesses information from departmental stakeholders		
The state of employee engagement and willingness to strive to achieve results is regularly assessed and monitored		
Employees' decisions to volunteer extra effort so as to ensure service delivery are understood and monitored		
The level of employee commitment to their jobs, teams, managers and organisation is understood and monitored		
Job satisfaction is regularly assessed, per occupational category		
The influence of job satisfaction on performance and employee commitment is understood and monitored, per occupational category		

APPENDICES (CHECKLISTS)

H.10: EXAMPLE OF A SUPPLY ANALYSIS TEMPLATE³²

Use this template and the one below to assist with completion of the table under the Competency heading in the body of this guideline document.

WORKFORCE SUPPLY ANALYSIS						
Core competencies	Current supply		Future supply (4 to 8 years)		Risk (comment)	Risk assessment (H, M, L) and plan to assess the risk
	Internal availability	External availability	Internal availability	External availability		
Project management	D	C	D	C	Shortage of project management competency within the department	H
Communication skills	D	D	D		Shortage of communication skills within the department	H
Strategic thinking	A	A	A	A	Shortage of strategic thinking competency within the department	L

KEY

A = Oversupply	H = High risk – severe and immediate impact on service delivery
B = Fully available	M = Medium risk – some impact on service delivery
C = Available, no reserves	L = Low risk – minimal impact on service delivery
D = Not enough, limited availability	

³² Adapted from information obtained on The Public Service Human Resource Management Agency of Canada – www.hrma-agrh.ca

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H.11: EXAMPLE OF CRITICAL COMPETENCIES ANALYSIS³³

AVAILABILITY OF COMPETENCIES						
Critical competencies	Current supply		FUTURE SUPPLY (SAME TIMEFRAME AS STRATEGIC PLAN)		Risk (comment)	Risk assessment (H, M, L) and plan to address the risk
	Internal availability	External availability	Internal availability	External availability		
Policy implementation	D	B	D	B	Shortage of policy development competencies within the department and public service generally	H
Customer service orientation	B	B	C	C	Capacity exists, but requires extensive development in line with Batho Pele	H
Strategic thinking	D	C	D	C	Managing complex situations, seeing the big picture – essential for effective strategic planning. Cognitive skills must be developed on a macro-level in all educational institutions and within departments.	L

KEY

A = Oversupply	H = High risk – severe and immediate impact on service delivery
B = Fully available	M = Medium risk – some impact on service delivery
C = Available, no reserves	L = Low risk – minimal impact on service delivery
D = Not enough, limited availability	

³³ Adapted from information obtained on The Public Service Human Resource Management Agency of Canada – www.hrma-agrh.ca

APPENDICES (CHECKLISTS)

I. CONDUCT A GAP ANALYSIS

Based on an analysis of the environmental scan and business goals, it is now time to determine the department's current and future HR needs. Key considerations will include:

- Based on projections, is a skills shortage in any specific occupational group envisaged?

- Will changes in service delivery require the acquisition of new and different competencies?

- Are there sufficient qualified middle managers to feed into the executive management group?

- Have all employment equity targets been met through the implementation of the Employment Equity Plan?

SAMPLE GAP ANALYSIS

What are our departmental objectives?	What are the HR requirements to deliver the departmental objectives?	Define the gap in terms of supply and demand	What is the consequence of not addressing the gap?	Potential solutions/ strategies to address the gap

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J. IDENTIFICATION OF SIGNIFICANT HR PRIORITIES

Based on an understanding of the department’s goals, the holistic environmental scan skills audit and workplace skills plan information as well as the gap analysis process, you are now in a position to do the following:

- Determine the major **HR priorities** for the department.
- Determine the level of risk involved in terms of impact on the department.
- Determine which strategies will help achieve the desired outcomes.

Using the table below, identify the **department’s top five HR priorities**, as well as the associated level of risk. Work plans will be developed around strategies to address the identified key areas. Work plans should include an explanation of how implementation will be funded and how the results will be achieved.

HRP PRIORITIES	PRIORITY	RISK LEVEL
Recruitment/staffing		
Talent management		
Mobility/redeployment		
Employment equity		
Organisational design		
Change management		
Systems and information capacity		
Leadership development		
Training and development		
Performance management		
Competency development		
Occupational health and safety		
Employee health and wellness		
Knowledge management		
Reward and recognition		
Labour relations		
Values, ethics and organisational culture		
Organisational development		
Conditions of service		
Job evaluation		

Key:

- H = High risk – severe and immediate impact on service delivery
- M = Medium risk – some impact on service delivery
- L = Low risk – minimal impact on service delivery

Key areas for consideration when setting HR priorities

Budgetary considerations are factored into all planning
Leveraging expertise through selected partnerships with other

organisations and institutions is fully explored and developed
Best-practice research from within the department and across departments is encouraged and written up as case studies
Strategies and action plans are regularly reviewed and relevant changes implemented

APPENDICES (CHECKLISTS)

K. HR IMPLEMENTATION/ACTION PLAN

Departmental strategic objectives	HR planning objectives	Ranked HR planning priorities	Key activities	Indicator	Milestones	Outcomes	Target dates	Assumptions	Responsible manager	Budget required

APPENDICES (CHECKLISTS)

L. MONITORING, EVALUATION AND REPORTING

HRP objectives	Priority	Key activities	Risk	Outcomes	Responsible manager	Budget required	M & E Date of submission of progress report

REPORT TEMPLATE

The HR Planning Report Template is available on the **dpsa** website (www.dpsa.gov.za).

Ideally, the HR plan review process should include:

- A review of performance measurement information
- An assessment of which components are working and which are not
- An adjustment of the plan as required
- Feedback to senior managers on changes to the HR plan
- Addressing new HR issues as they occur

Checklist for assessment of current applicability of the HR plan

The HR plan is accomplishing what the department needs (e.g. employees have the competencies needed to fulfil departmental objectives in the short, medium and long term) If so, celebrate your success!	Y/N
The evaluation of progress against the HR Plan is appropriately tracked in terms of timelines and milestones	
Conditions within the department have changed significantly and a new strategy is warranted or the strategy must be reviewed	
The assumptions used in both the current and future needs analysis are still valid	
An overall assessment of what is working is conducted (problem areas are highlighted and addressed)	

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